6.23. Firearms/Triggerlock Information

If Brady is the underlying offense or the illegal use, possession, sale, receipt, transportation, purchase, manufacture of a firearm, firearm accessories or ammunition, access the Triggerlock form from the Criminal General Update menu or the Criminal Case Summary screen, as shown in Figure 6-65.

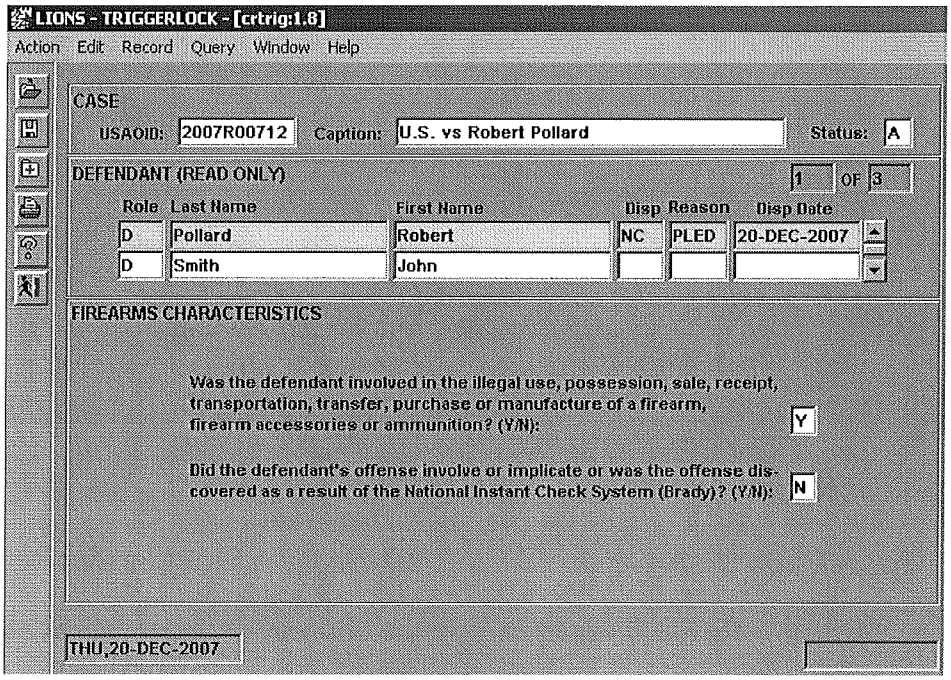
LIONS - TRIGGERLOCK - [crtrig:1.8]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712
Caption: U.S. vs Robert Pollard
Status: A
DEFENDANT (READ ONLY)
1 OF 3
Role Last Name First Name Disp Reason Disp Date
D Pollard Robert NC PLED 20-DEC-2007
D Smith John
FIREARMS CHARACTERISTICS
Was the defendant involved in the illegal use, possession, sale, receipt, transportation, transfer, purchase or manufacture of a firearm, firearm accessories or ammunition? (Y/N):
Y
Did the defendant's offense involve or implicate or was the offense discovered as a result of the National Instant Check System (Brady)? (Y/N):
N
THU,20-DEC-2007

Figure 6-65: Triggerlock

Before going to the Firearms Characteristics block, make sure you have the proper defendant highlighted. You can either press the down arrow until you highlight the correct defendant, or you can press **F7** to go into query mode, type the defendant's name and press **F8** to execute the query.

Enter information as follows:

Was the defendant involved in the illegal use, possession, sale, receipt, transportation, transfer, purchase, or manufacture of a firearm or firearm accessories or ammunition?

Did the defendant's offense involve or implicate or was the offense discovered as a result of the National Instant Check System (Brady)?

Clicking the checkbox next to the question indicates a 'Yes' response. Leaving it blank indicates a 'No' response

6.24. Picklists

The following five LIONS code lists are maintained and controlled by the districts:

Agency Office

Opposing Attorney

Expert

Judge

Evidence Location

Additions, deletions or changes to a Picklist will automatically be reflected in the LOV for the field.

Select **Criminal** or **Civil, Picklists** from the LIONS Main Menu as shown in Figure 6-66.

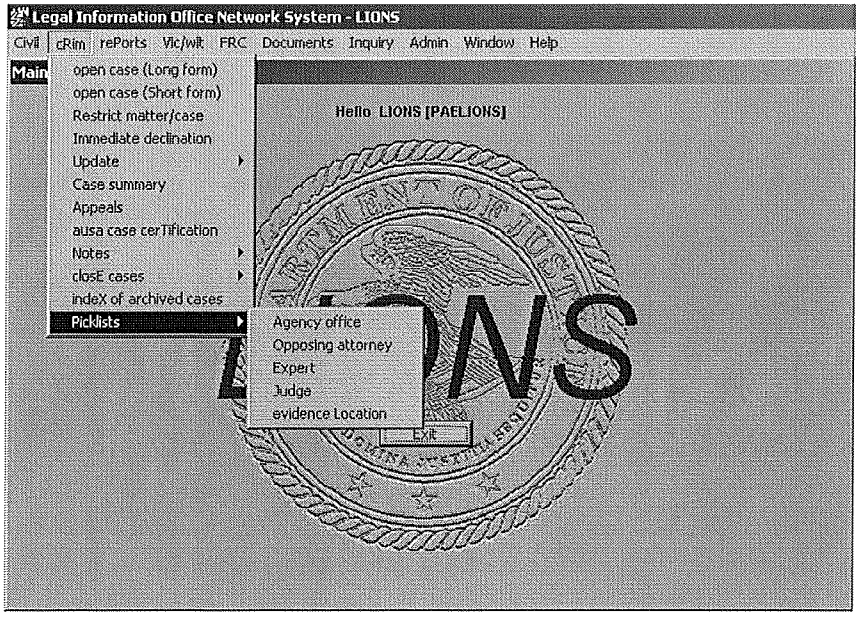

Figure 6-66: Picklists

6.24.1. Agency Office

This option allows you to capture multiple addresses for the same agency (see Figure 6-67).

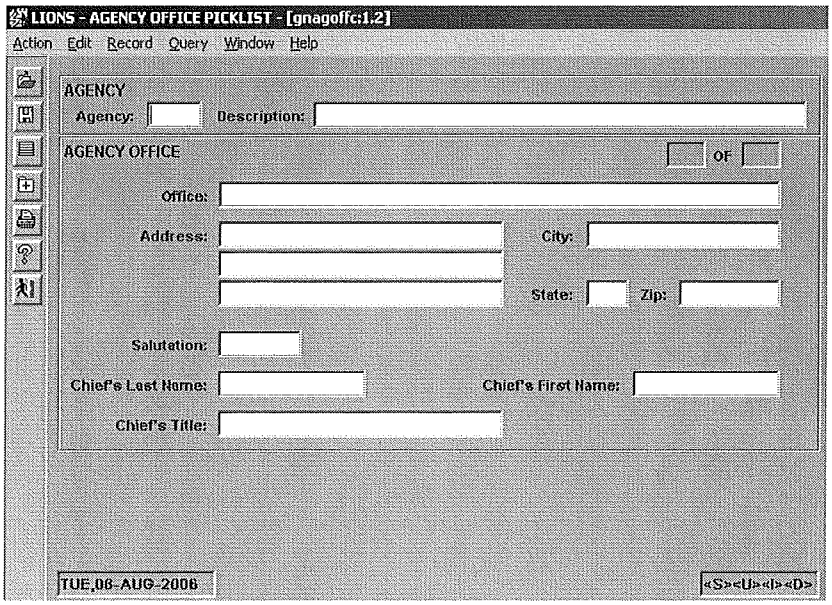

Figure 6-67: Agency Office

Before you enter an office for an Agency, you must first query the Agency. To do this, press **F7** and enter the Agency code. If you do not know the Agency code, press **F9** after you press **F7**, and find the code on the LOV (The Agency code must be manually keyed in it will not work from F9, LOV). Once the Agency code is entered, press **F8** to bring up the Agency code and description. Move to the Agency Office block and enter the appropriate address information.

The office field should not be the same as the Agency description, it should be a unique identifier for the Agency location (FBI - Norfolk Office, for example).

If you have another address to enter for the same agency press the down arrow to receive a blank block and continue data entry. When you have completed entering your addresses, save and exit the form.

The next time you select the agency code in a case you will receive a pop-up block that will let you know you have multiple addresses. Press **F9** for a list of the addresses and select the appropriate one. The system will automatically put the address in the last block of the Agency form

6.24.2. Opposing Attorney

This option allows you to capture pertinent information concerning an opposing attorney, as shown in Figure 6-68.

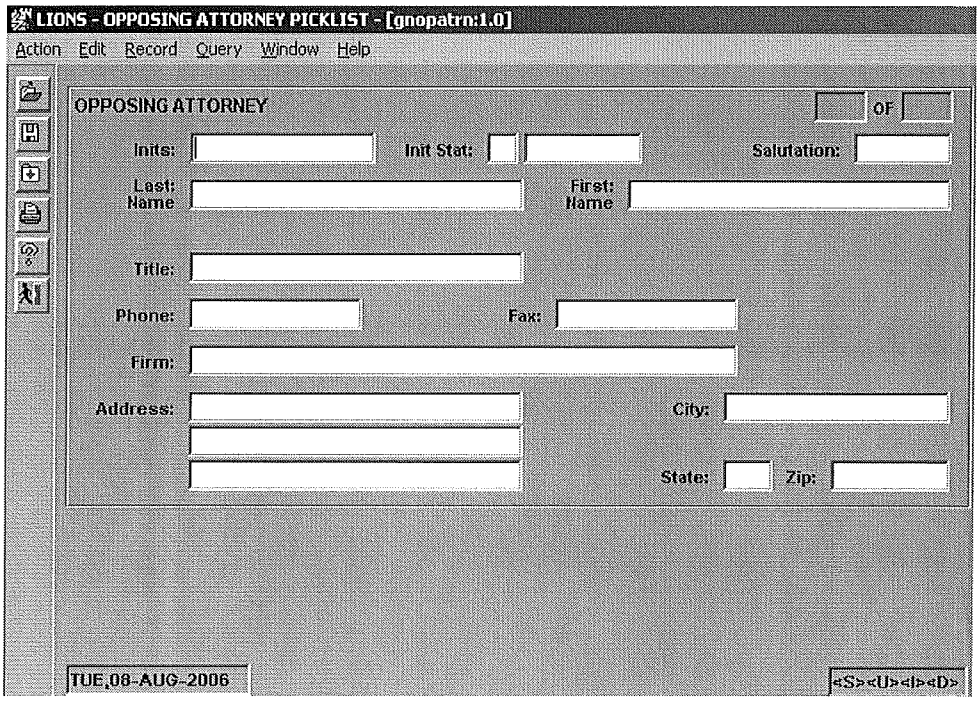

Figure 6-68: Opposing Attorney

6.24.3. Expert

This option allows you to capture information about expert witnesses, including the type of expert; e.g., Banker. The Expert screen is shown in Figure 6-69.

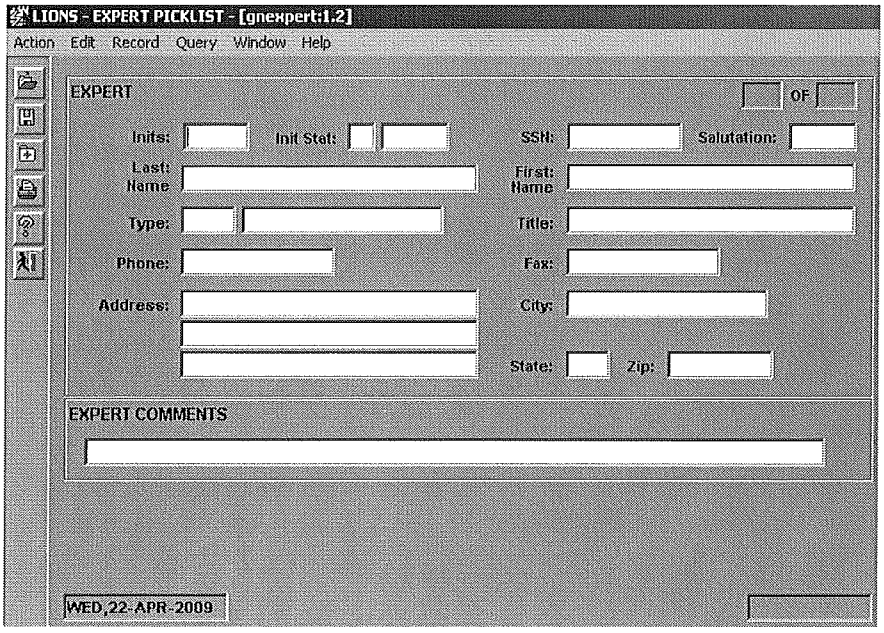

Figure 6-69: Expert

6.24.4. Judge

This option allows you to capture pertinent information about judges, as shown in Figure 6-70.

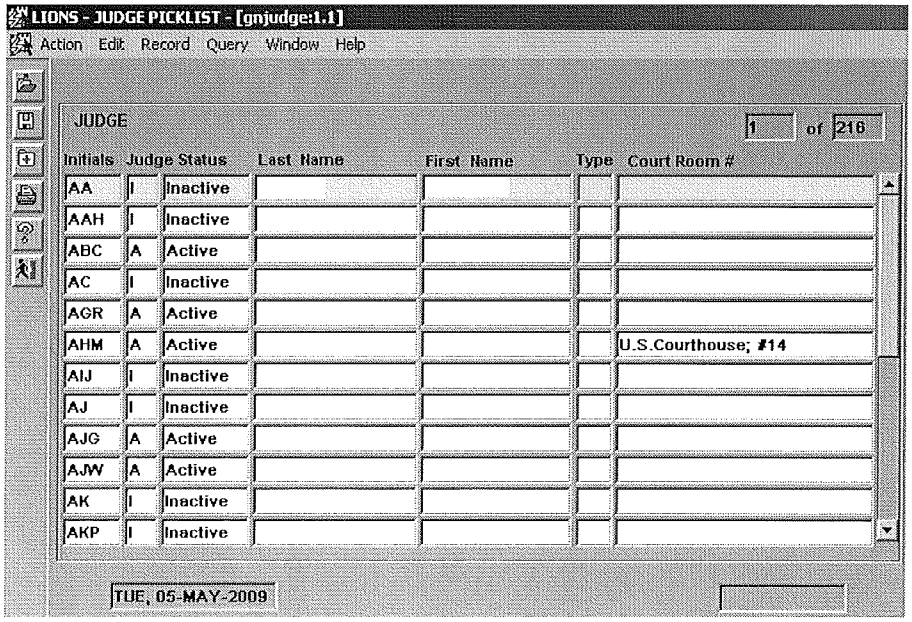

Figure 6-70: Judge Picklist

6.24.5. Evidence Location

This option allows you to capture information about where evidence is stored, as shown in Figure 6-71.

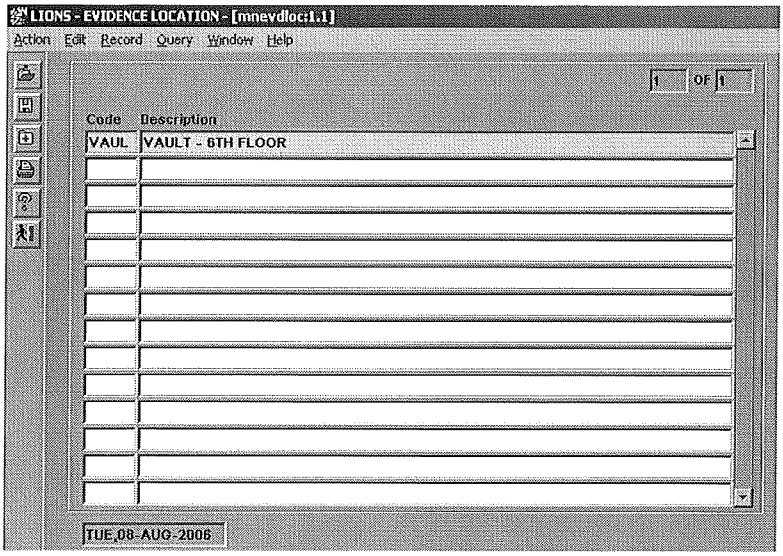

Figure 6-71: Evidence Location Picklists

6.25. Criminal Closing

The closing of a criminal action in LIONS involves closing each defendant, and then closing the case. Closing one defendant in a criminal matter or case does not close the case itself. The case will not be closed in LIONS until final disposition of all defendants. Figure 6-72 shows how to start the process.

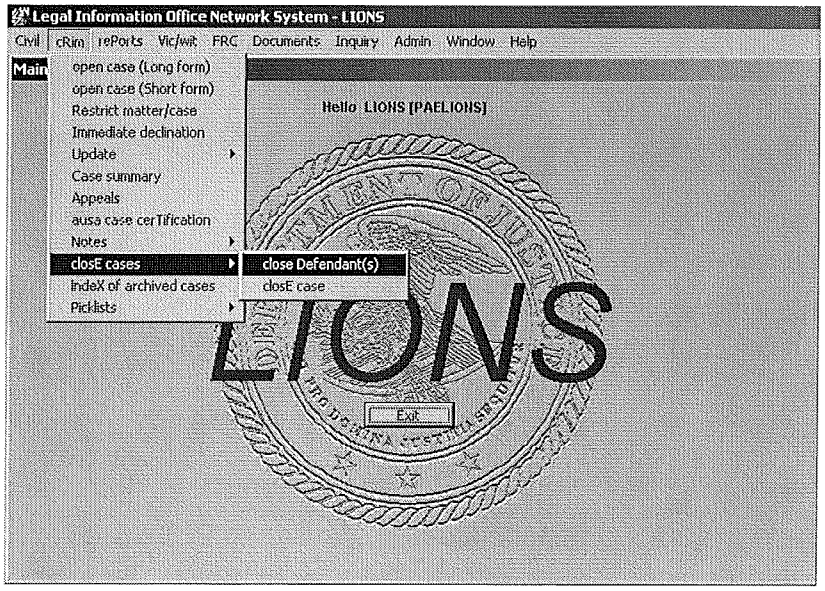

Figure 6-72: Close Defendants

6.25.1. Final Disposition of a Defendant

A defendant is disposed of when no further action is pending against him or her. The following actions constitute final disposition of a defendant in a criminal matter or case.

Type of Disposition	Go To Form
Declination	Court History (Court/Participant block)
No True Bill after Presentment to Grand Jury	No Instrument Filed - Court History (Court/Participant block)
	Instrument Filed – Count Disposition/Sentence/Restitution
Transfer	No Instrument Filed - Count History (Court/Participant block)
	Instrument Filed – Count Disposition/Sentence/ Restitution
Removal	Count Disposition/Sentence/Restitution
Dismissal of Charges	Count Disposition/Sentence/Restitution
Plea/Verdict	Count Disposition/Sentence/Restitution

6.25.1.1. Close Defendant/No Instrument Filed (Not in Court)

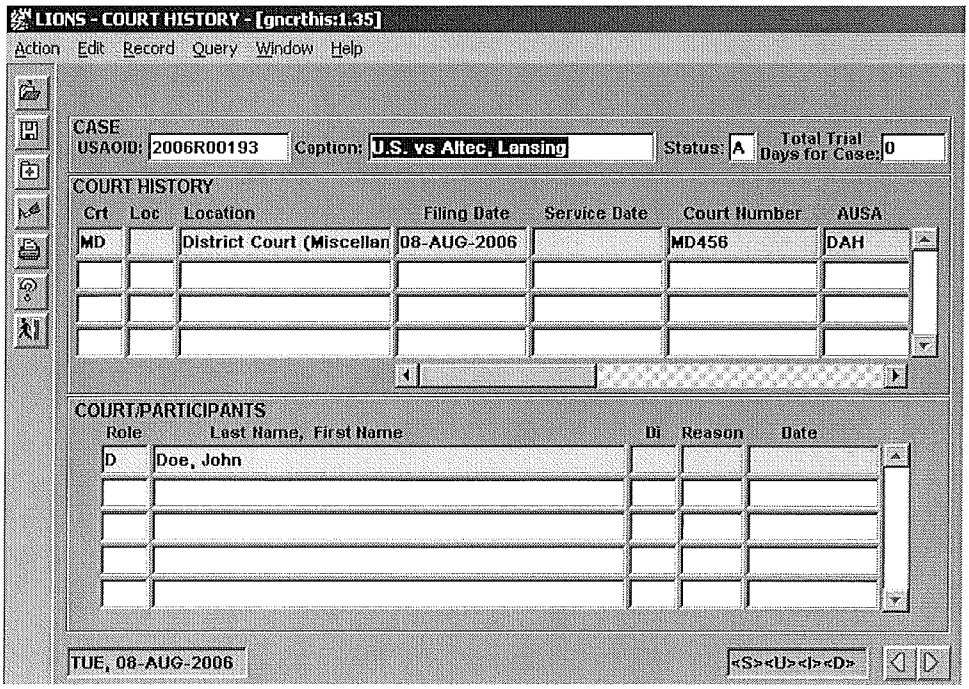
LIONS - COURT HISTORY - [gncrthis:1.35]
Action Edit Record Query Window Help
CASE
USAOID: 2006R00193
Caption: U.S. vs Altec, Lansing
Status: A
Total Trial Days for Case: 0
COURT HISTORY
Crt Loc Location Filing Date Service Date Court Number AUSA
MD District Court (Miscellan 08-AUG-2006 MD456 DAH
COURT/PARTICIPANTS
Role Last Name, First Name Di Reason Date
D Doe, John
TUE, 08-AUG-2006
<S><U><I><D>

Figure 6-73. Court History

Highlight the **NC** Court History record with the highlight bar. Press **CTRL + PAGE DOWN** to go to the Court/Participant block. Enter the appropriate Disposition Code as shown below.

DE - Declination of Prosecution After Investigation

NB - No True Bill (no instrument filed)

TR - Transfer (no instrument filed)

Enter the appropriate Disposition Reason and Date for each of the defendants that are being closed. A List of Values will be available for the Disposition and Disposition Reason fields.

When you have finished entering the disposition information for your defendant(s), commit the record by pressing **F10**. LIONS will perform a roll-up to close the Court History record The Disposition - Disposition Reason combination that is most favorable for the U.S. will be inserted in the Court History record along with the latest Disposition Date.

In order to see the "rolled-up" disposition information in the Court History Record, you will need to re-query the NC Court History record. Do a **CTRL + PAGE UP** to the NC Court History block, press F7, and then press F8.

6.25.1.2. Close Defendant/Instruments/Counts (In Court)

Call up the Count Disposition/Sentence/Restitution screen as shown in Figure 6-60 below.

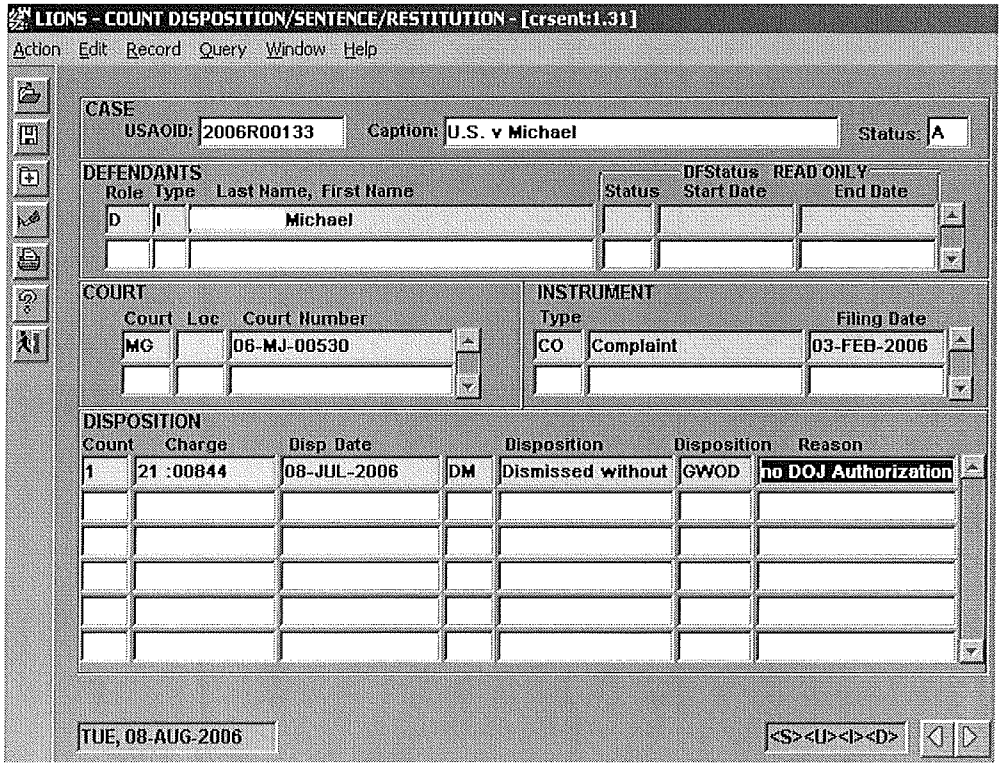

Figure 6-74: Count Disposition/Sentence/Restitution

In the Defendant Block, highlight the defendant you want to close by using the down arrow or the scroll bar. Click in the Court History Block. Highlight the Court History record using the down arrow or the scroll bar. Click in the Instrument block and highlight the instrument you want to close by using the down arrow or the scroll bar.

If there are a lot of defendants in the criminal action, you can speed up your search for the correct defendant by pressing **F7**, typing the defendant's last name, and then pressing **F8**. If more than one defendant in the case has the same last name, press the **down arrow** until you have highlighted the one you want.

Now you are ready to close out counts for the defendant. You will notice that the Count and Charge columns are pre-filled. These are READ ONLY fields which cannot be changed. Enter the appropriate Disposition Date, Code and Reason for each count.

No Sentence - If you have not entered a Disposition of **GT** (Guilty) or **NC** (Nolo), you will receive an error message (shown in Figure 6-75) alerting you that the Sentence screen will only appear for dispositions of GT or NC.

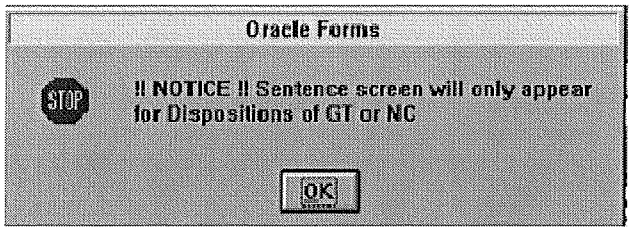

Figure 6-75: Sentence Screen Message

When you commit the record using **F10**, LIONS will perform a roll-up to the Court/Participant record of the Disposition - Disposition Reason combination that is most favorable for the U.S. The latest Disposition Date will be used. No further input is allowed in this form.

Add a Sentence - If there is a Disposition of **GT** (Guilty) or **NC** (Nolo), a Sentence Date is required before the roll-up will be performed to close the Court/Participant record. Press **CTRL + PAGE DOWN** to go to the Sentence block. (See Figure 6-76below.)

If Disposition is **GT** (Guilty) or **NC** (Nolo Contendere), press to go to the **SENTENCE** block shown in Figure 6-76.

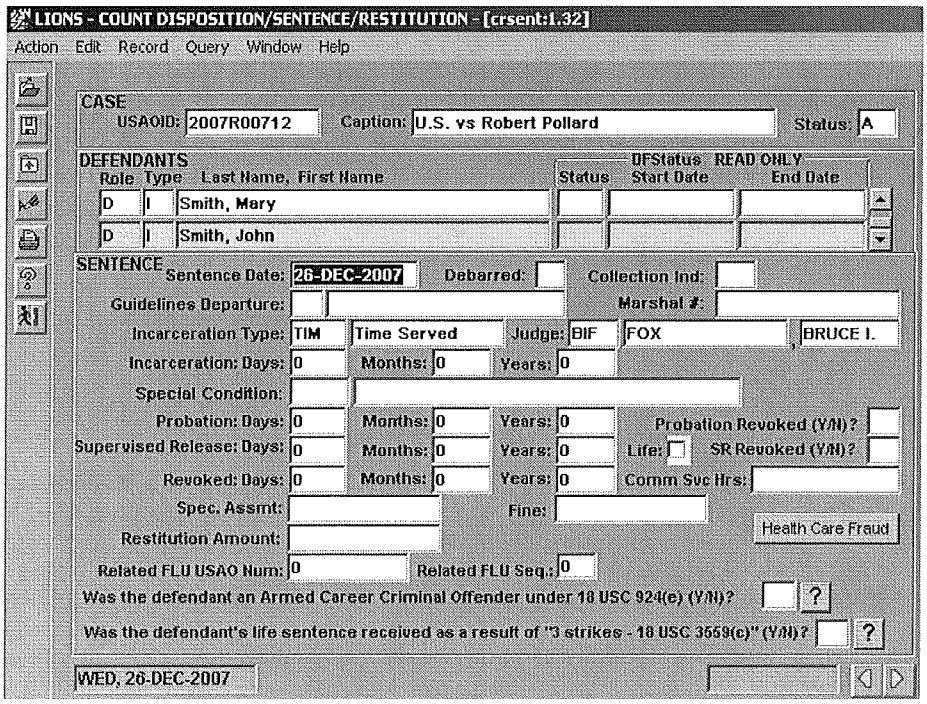
LIONS - COUNT DISPOSITION/SENTENCE/RESTITUTION - [crsent:1.32]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712
Caption: U.S. vs Robert Pollard
Status: A
DEFENDANTS
Role Type Last Name, First Name
DFStatus READ ONLY
Status Start Date End Date
D I Smith, Mary
D I Smith, John
SENTENCE
Sentence Date: 26-DEC-2007
Debarred:
Collection Ind:
Guidelines Departure:
Marshal #:
Incarceration Type: TIM Time Served
Judge: BIF FOX BRUCE I.
Incarceration: Days: 0 Months: 0 Years: 0
Special Condition:
Probation: Days: 0 Months: 0 Years: 0
Probation Revoked (Y/N)?
Supervised Release: Days: 0 Months: 0 Years: 0
Life:
SR Revoked (Y/N)?
Revoked: Days: 0 Months: 0 Years: 0
Comm Svc Hrs:
Spec. Assmt:
Fine:
Restitution Amount:
Health Care Fraud
Related FLU USAO Num: 0
Related FLU Seq.: 0
Was the defendant an Armed Career Criminal Offender under 18 USC 924(e) (Y/N)?
Was the defendant's life sentence received as a result of "3 strikes - 18 USC 3559(c)" (Y/N)?
WED, 26-DEC-2007

Figure 6-76: Sentence Block

Sentence Date - Enter the date as noted on the Judgment and Commitment Order (J&C).

Debarred – Press **F9** and select **Y** (Yes) or **N** (No).

Collection Ind (Collection Indicator) – Press **F9** and select **Y** (Yes) or **N** (No).

Guidelines Departure – Press **F9** and select the code from the list of values if there is a departure guideline.

Marshal # - Enter the number assigned to the case by the Marshal, if applicable. This field is required if **Vic/Wit** is **Y** (Yes).

Incarceration Type – Press **F9** and select the code for the type of incarceration, if applicable.

Judge – This field defaults to the initials of the Judge Enter the initials for the Judge who issued the J&C. (LOV)

Incarceration Days, Months, Years - Enter the length of the Defendant's incarceration, if applicable.

Probation Days, Months, Years - Enter the length of probation, if applicable.

Probation Revoked? - Enter **Y** (Yes) if defendant's probation has been revoked. Otherwise, enter **N** (No).

Special Condition – Press **F9** and select a code for any special conditions of probation.

Supervised Release Days, Months, Years - Enter the length of time the Defendant will be on supervised release, if applicable.

Life – Click in the checkbox if Lifetime Supervised Release is required.

SR Revoked (Supervised Release Revoked)? - Enter **Y** (Yes) if defendant's supervised release has been revoked. Otherwise, enter **N** (No).

Revoked Days, Months, Years - Enter the amount of time revoked.

Comm Svc Hours (Community Service Hours) – Enter the number hours the defendant must perform community service, if applicable.

Special Assessment - If the J&C indicates a special assessment, enter the appropriate amount.

Fine - If the J&C indicates a fine, enter the appropriate amount.

Restitution Amount - If the J&C indicates a restitution amount, enter the appropriate amount.

Related FLU USAO Num – Enter the USAOID of a similar case used by the Financial Litigation Unit (FLU).

Related FLU Seq: - Enter the sequence code assigned to the related FLU USAO Number.

Armed Career Offenders – Enter **Y** (Yes) if the defendant has been convicted as an Armed Career Offender. Otherwise enter **N** (No). To see a definition of Armed Career Offender press the ? following the checkbox.

Life Sentence imposed as a result of Three Strikes Notice - Enter **Y** (Yes) if a life sentence has been imposed as a result of a Three Strikes Notice. Otherwise enter **N** (No). To see a definition of Three Strikes Notice press the ? following the checkbox.

If a life sentence is imposed that is NOT a result of a Three Strikes Notice, enter a comment in the SENTENCE COMMENTS block about why the defendant was sentenced to life.

If the J&C indicates a restitution amount, press **CONTROL + PAGE DOWN** to the Restitution screen shown in Figure 6-77.

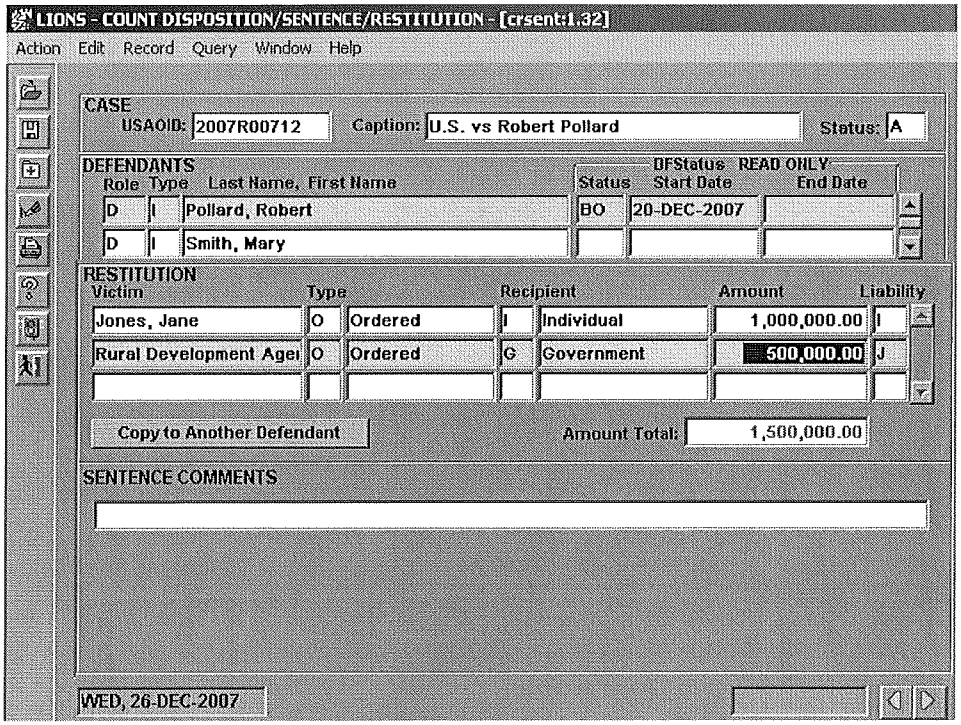

Figure 6-77: Restitution

Victim - Press **F9** and select from the list of victims or, or begin typing the victim's last name.

Type – Press **F9** and select the type of restitution.

Recipient – Press **F9** and select the type of recipient

Amount - Enter the dollar amount of restitution.

Liability – Press **F9** and select the code that describes the liability for restitution.

Amount Total - System generated sum of all restitution amounts.

CONTROL + PAGE DOWN to the **SENTENCE COMMENTS** block.

Comments – This is a non-code field. It should be noted that the comment in this form relates to the Defendant, not the Victim. Enter text as you would in WordPerfect. You can enter approximately 35 lines of text. To expand the comment screen, press **ALT + E** and select **Edit** from the menu.

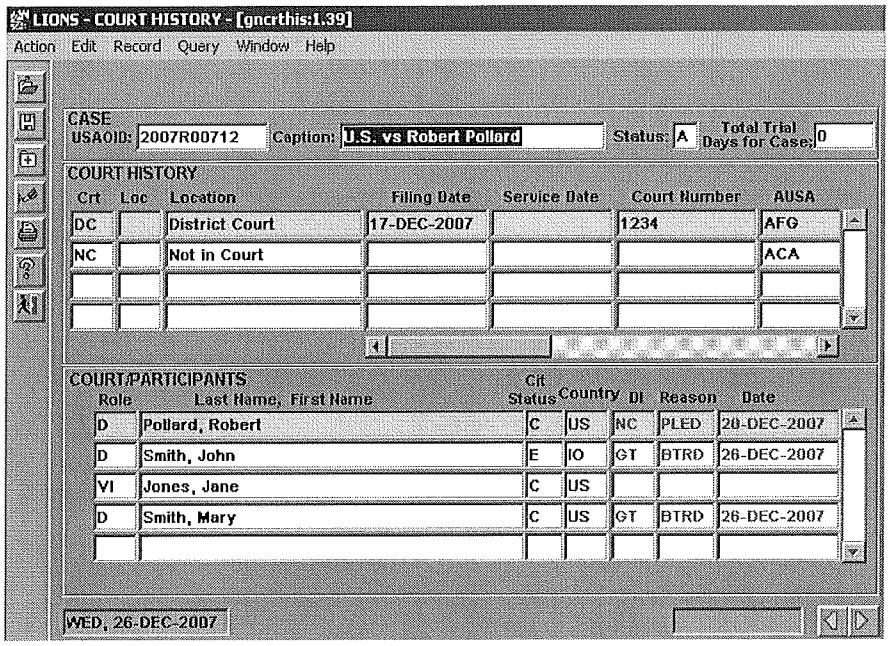
LIONS - COURT HISTORY - [gncrthis:1.39]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712
Caption: U.S. vs Robert Pollard
Status: A
Total Trial Days for Case: 0
COURT HISTORY
Crt Loc Location Filing Date Service Date Court Number AUSA
DC District Court 17-DEC-2007 1234 AFG
NC Not in Court ACA
COURT PARTICIPANTS
Role Last Name, First Name Cit Status Country DI Reason Date
D Pollard, Robert C US NC PLED 20-DEC-2007
D Smith, John E IO GT BTRD 26-DEC-2007
VI Jones, Jane C US
D Smith, Mary C US GT BTRD 26-DEC-2007
WED, 26-DEC-2007

Figure 6-78: Closed Defendants

6.25.2. Closing the Criminal Matter or Case

Select **Criminal, Close Cases, Close Case** from the LIONS Main Menu.

Enter the USAOID of the case to be closed and press **F8**.

The Close a Case form for the requested case opens as shown in Figure 6-79. The Close a Case form is used when all stages of a case, including appeals, have been completed. The purpose of closing a case is to change the status from **"active"** to **"closed"**, and to set the destruction date for the file or to mark the file for permanent retention.

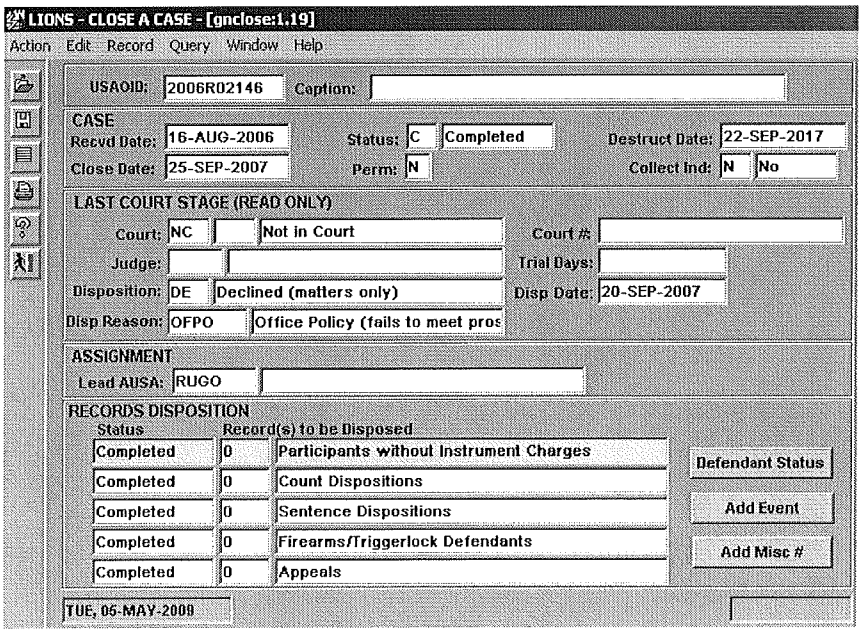

Figure 6-79: Close a Case

6.25.2.1. Case

Recvd Date – Defaults to the date the criminal action was opened in LIONS.

Status – Defaults to **A** (Active). Status will change to **C** (Completed) automatically when all steps have been completed to close the case.

Destruct Date – Calculates when the status updates to **C** (Completed).

Close Date – The close date of record.

Perm (Permanent) - Enter **Y** (Yes) to designate records as Permanent. Otherwise, enter **N** (No). Files are designated as permanent if:

The case has an impact on a statute, rule, regulation, or law enforcement policy (set a precedent).

The case received local, regional or national media attention, or the interest of a Congressional committee or the Executive Office of the President, or widespread public interest. See **EOUSA Resource Manual 123**.

Collect Ind (Collection Indicator) – Press **F9** and select **Y** (Yes) if the file will be referred to the Financial Litigation Unit. Select **R** (Referred to Agency) if the file is being returned to the agency for post-disposition collection activities. Otherwise, enter **N** (No).

6.25.2.2. Last Court Stage (Read Only)

This block reflects information entered into the last Court History Record.

6.25.2.3. Assignment (Read Only)

This block displays the Lead AUSA for the last Court History Record.

6.25.2.4. Records Disposition

This block displays the status and number of each type of record. It references **Court/Participants**, **Count Disposition, Sentence**, and **Appeal** records.

If the record Status is **Completed**, no action is required. If the Status is Incomplete, the records must be closed before the case can be closed.

Court/Participants (Not in Court) - The number in the Record(s) field indicates the number of Participants Not in Court that need to be closed. See *Section 6.30.1.1.*

Count Dispositions - The number in the Record(s) field indicates the number of counts that need to be closed. *See Section 6.30.1.2.*

Sentence Dispositions - The number of Record(s) field indicates the number of sentence records that need to be closed. *See Section 6.30.1.2.*

Appeals - The number in the Record(s) column indicates how many Appeal records need to be closed. To close these records, press **F3** to go to the Appeals Form. See *Chapter 8 Appeals* for instructions on closing appeals.

When all records have a Status of Completed, press **F10** to commit the record. As shown in Figure 6-80, the Status field is now C (Completed) and Destruct Date has been automatically calculated by LIONS and the close date is populated with today's date.

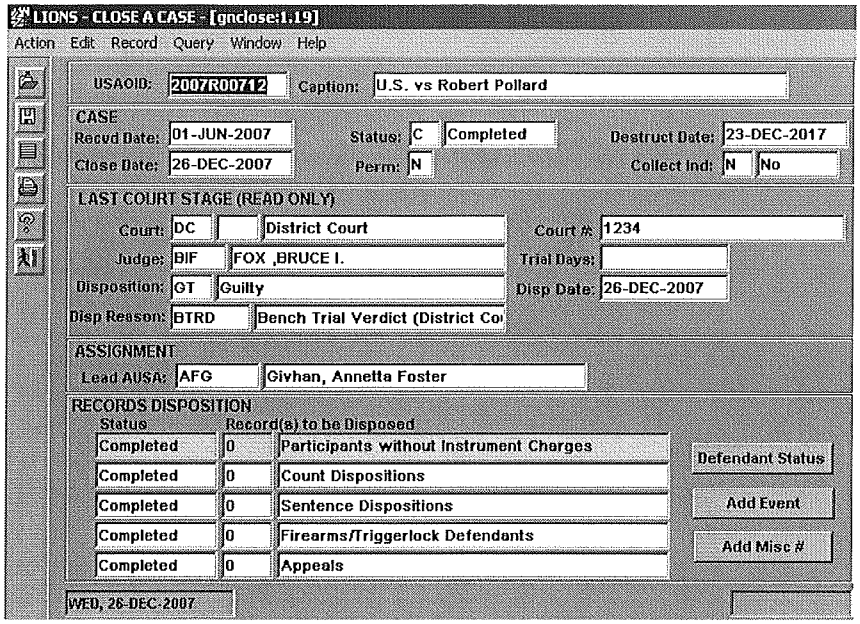
LIONS - CLOSE A CASE - [gnclose:1.19]
Action Edit Record Query Window Help
USAOID: 2007R00712 Caption: U.S. vs Robert Pollard
CASE
Recvd Date: 01-JUN-2007 Status: C Completed Destruct Date: 23-DEC-2017
Close Date: 26-DEC-2007 Perm: N Collect Ind: N No
LAST COURT STAGE (READ ONLY)
Court: DC District Court Court #: 1234
Judge: BIF FOX ,BRUCE I. Trial Days:
Disposition: GT Guilty Disp Date: 26-DEC-2007
Disp Reason: BTRD Bench Trial Verdict (District Co
ASSIGNMENT
Lead AUSA: AFG Givhan, Annetta Foster
RECORDS DISPOSITION
Status Record(s) to be Disposed
Completed 0 Participants without Instrument Charges
Completed 0 Count Dispositions
Completed 0 Sentence Dispositions
Completed 0 Firearms/Triggerlock Defendants
Completed 0 Appeals
Defendant Status
Add Event
Add Misc #
WED, 26-DEC-2007

Figure 6-80: Closed Criminal Case

7.0 VICTIM/WITNESS INFORMATION

This module is no longer in LIONS. Victim notification is handled by the Victim Notification System (VNS). Data is captured from LIONS, and automatically transmitted to the VNS on a nightly basis.

The link to access the VNS webpage is as follows: http://usanet.usa.doj.gov/staffs/vns/index.cfm.

8.0 APPEALS

When you receive an appeal, whether it is from final judgment or an interlocutory appeal, you will need to put the appeal in LIONS. If the appeal has been filed on a case that is in your system, attach it to the original case. See the instructions in **Section 8.2**. If you receive an appeal where your district did not handle the original case, open it as an appeal ONLY. See the instructions in **Section 8.3**.

8.1. What is an Appeal?

An appeal begins with the filing of a Notice of Appeal in the Court of Appeals or the state or federal Supreme Court. It can be opened in LIONS at the time of the Notice of Appeal or when the appeal is docketed by the Court of Appeals.

Appeal from Final Judgment - An appeal record ***must*** be initiated in LIONS when an appeal from final judgment is filed.

Interlocutory Appeal - An appeal record ***must*** be initiated in LIONS for an interlocutory appeal.

Other - Appeals of administrative decisions to the District Court (Social Security Disability Appeals[2], and "appeals" to the District Court from Bankruptcy Court and Magistrate Court)[3] are not considered appeals in this context.

Notify the Financial Litigation Unit (FLU) of the appeal if a debt is pending so appropriate action can be taken.

8.2. Docketing an Appeal for an Existing Case

When an interlocutory appeal is filed or an appeal from final judgment is filed on a case in your system, update the LIONS file.

Select **Criminal, Appeals** or **Civil, Appeals** from the LIONS Main Menu as shown in Figure 8-1 or press **A**.

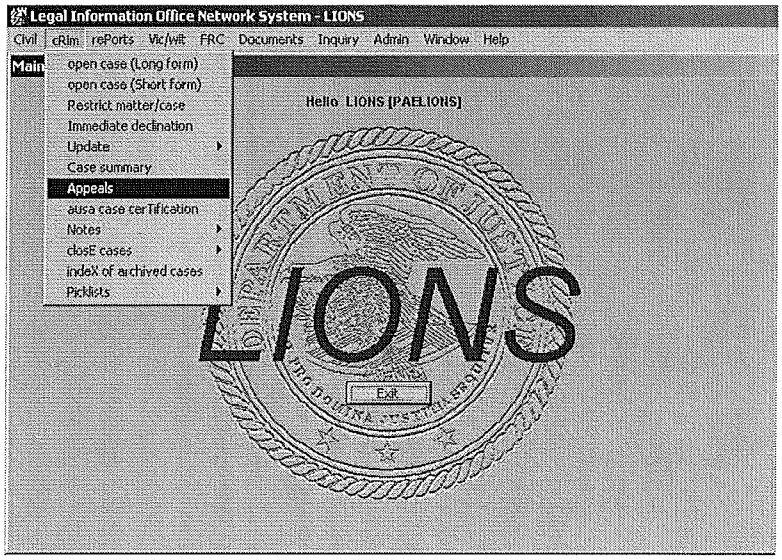

Figure 8-1: Criminal Appeals

Enter the **USAOID** for the case to which the Appeal will be attached and press **F8**.

2 For Social Security appeals, see U.S. Attorneys Procedures, Civil Policy Section.
3 For Bankruptcy appeals to District Court see U.S. Attorneys Procedures, Criminal Policy Section. For Appeal of a Magistrate Judge's Decision, see U.S. Attorneys Procedures, Criminal Policy Section.

The Appeals form for the requested case will open as shown in Figure 8-2.

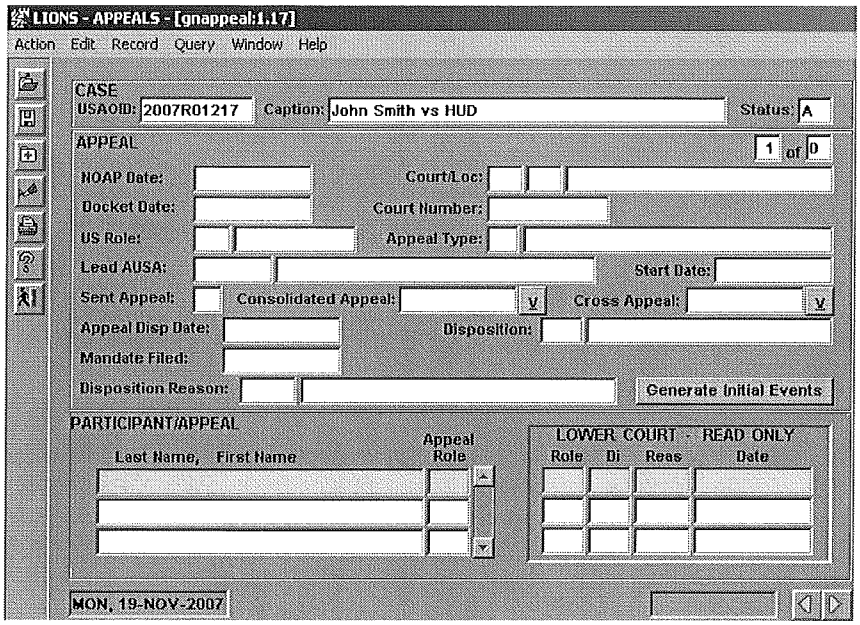

Figure 8-2: Appeals

NOAP (Notice of Appeal) - Enter the date the Notice of Appeal was filed. This field is required if there is no Docket Date.

Court – Press **F9** and select the code for the Court or enter:

CA (United States Court of Appeals).

ST (State Court).

SC (United States Supreme Court).

Enter the court location, if applicable. Location codes are established by the district.

Docket Date – If the appeal has been docketed, enter the appropriate date. This field is required if there is no NOAP date.

Court Number - Enter the number assigned to the appeal by the appellate court. A court number is required if there is a Docket Date.

US Role – Press **F9** or enter a code for the US Role in the Appeal. If the US filed the appeal enter **AN** (Appellant). Otherwise, enter **AE** (Appellee) or **A** (Amicus).

Appeal Type – Press **F9** or enter **A** (Appeal From Final Judgment) or **I** (Interlocutory Appeal).

Lead AUSA - Press **F9** or enter the staff member responsible for the appeal.

Start Date – This field defaults to the current date. If this is incorrect, enter the date the AUSA or staff member was assigned to the appeal case.

Sent Appeal (Sentence Appeal) – Press **F9** and select **Y (Yes)** if the appellant is appealing all or part of a criminal sentence. Otherwise, select **N (No)**.

Consolidated Appeal - If the appeal is being consolidated with another appeal in the same case, click on the down arrow button to the right of the field. You will receive a pop-up block as shown in Figure 8-3, where you can enter all appeals with which the current appeal record is consolidated. Click the **List** button to see the Court Numbers of all appeals in the case, select the desired court number(s), and then press ENTER.

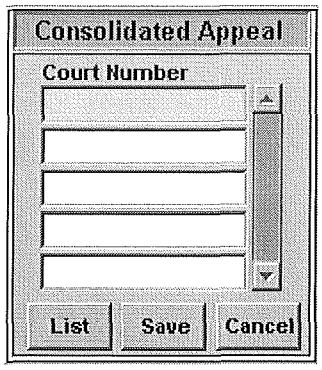

Figure 8-3: Appeals

Cross Appeal - - If this is a cross appeal to another appeal in this case, click on the down arrow button to the right of the field. You will receive a pop-up block as shown in Figure 8-4, where you can enter all the appeals for which the current appeal record is a cross appeal. Click the **List** button to see the Court Numbers of all appeals in the case, select the desired court number, and then press ENTER.

The pop-up shown in Figure 8-4 will open.

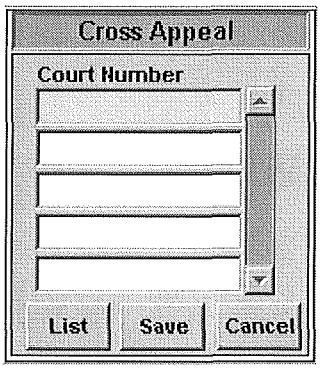

Figure 8-4: Cross Appeal Pop-up

Appeal Disposition Date - Enter Appeal Disposition date.

Disposition Reason: Press **F9** or enter code for disposition reason.

Mandate Filed – Enter date the mandate was filed.

Generate Initial Events - If you click on this field, LIONS will create the initial appeal events based on the Government's role in the case.

When you have completed entering the Appeal information, press **CONTROL + PAGE DOWN** to attach participants to the appeal, as shown in Figure 8-5.

8.2.1. Participant/Appeal

Press **F9** to select the participants involved in the appeal.

Enter the appropriate participant role (for example, **AE** for Appeal Filed Against US, or **AN** for Appeal Filed by US).

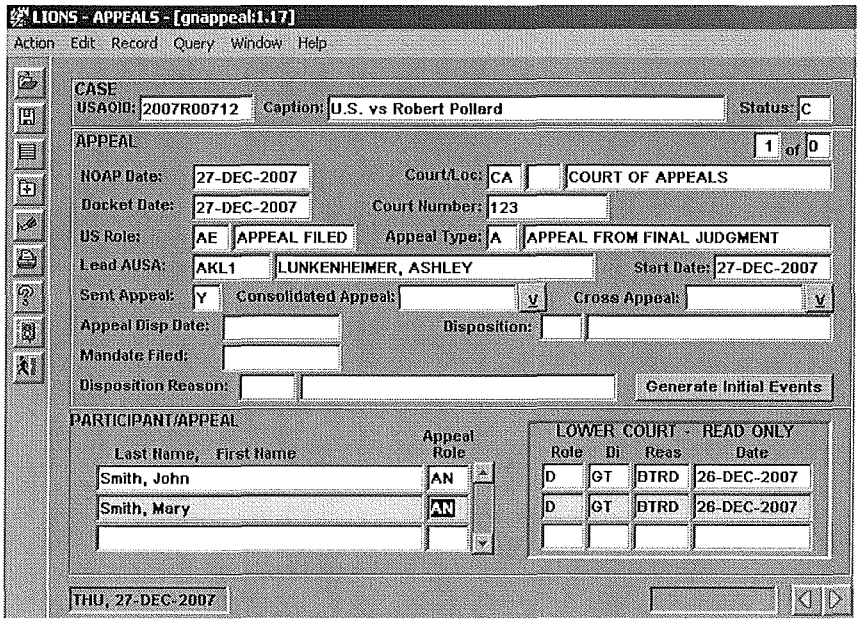
LIONS - APPEALS - [gnappeal:1.17]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712 Caption: U.S. vs Robert Pollard Status: C
APPEAL 1 of 0
NOAP Date: 27-DEC-2007 Court/Loc: CA COURT OF APPEALS
Docket Date: 27-DEC-2007 Court Number: 123
US Role: AE APPEAL FILED Appeal Type: A APPEAL FROM FINAL JUDGMENT
Lead AUSA: AKL1 LUNKENHEIMER, ASHLEY Start Date: 27-DEC-2007
Sent Appeal: Y Consolidated Appeal: Cross Appeal:
Appeal Disp Date: Disposition:
Mandate Filed:
Disposition Reason: Generate Initial Events
PARTICIPANT/APPEAL
Last Name, First Name Appeal Role
Smith, John AN
Smith, Mary AN
LOWER COURT - READ ONLY
Role Di Reas Date
D GT BTRD 26-DEC-2007
D GT BTRD 26-DEC-2007
THU, 27-DEC-2007

Figure 8-5: Participant/Appeal

8.2.1.1. Lower Court (Read Only)

The fields in this block are pre-populated with information from the lower court records.
When you have completed attaching participants, press **CTRL + PAGE DOWN** or click display button to enter assignments (see Figure 8-6).

8.2.1.2. Assignments

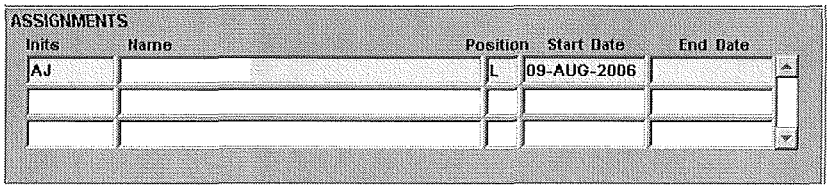

Figure 8-6: Assignments Block

Inits (Initials) - Press **F9** or enter the code for the staff member assigned to the appeal. The codes for this field are established by your district.

Position - LIONS will default the first entry to **L** (Lead). You are only allowed one open Lead.

Start Date - LIONS will default to today's date; however, it can be changed.

End Date - Use this field to record the date the staff member's involvement in the appeal ended.
When you have completed entering the assignment, press **CTRL + PAGE DOWN** or click the display button to enter opposing counsel information.

8.2.2. Opposing Counsel

Additional opposing counsel names can be added. If opposing counsel was entered at the lower court level, this information displays in the Opposing Counsel block as shown in Figure 8-7.

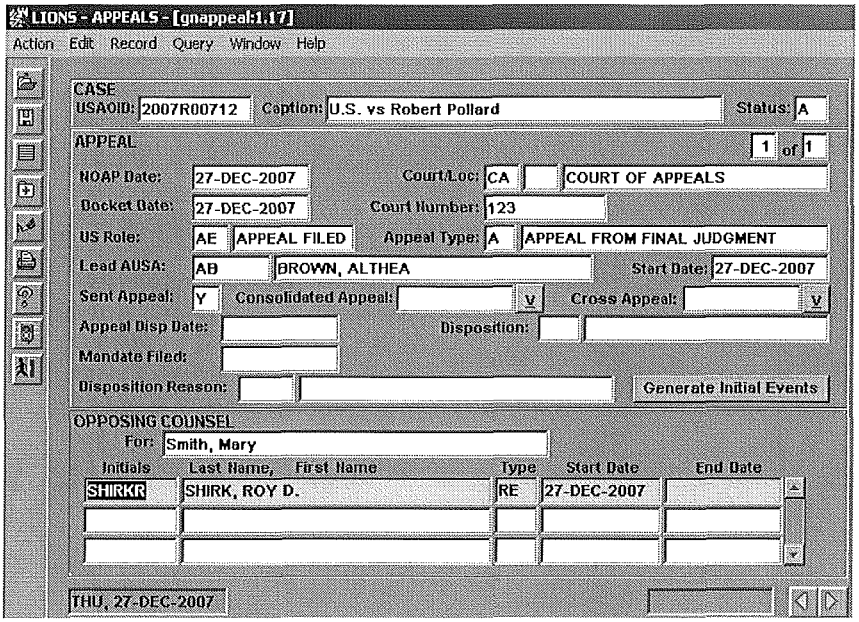

Figure 8-7: Opposing Counsel

Initials – Press **F9** and select the initials of the Opposing Counsel representing the participant. Last Name and First name will be filled in based on the initials selected.

Type – Press **F9** and select a code that describes the type of counsel.

Start Date - LIONS defaults to the current date. If this is incorrect, enter the date the Opposing Counsel became involved in the appeal. Start Date is required if initials are entered

End Date – This field is used to close Opposing Counsel.

Repeat for each Opposing Counsel representing the selected Participant on Appeal.

When you have completed entering Opposing Counsel information, press **CONTROL + PAGE DOWN** or click on to go to the **COURT/JUDGES** block as shown in Figure 8-8.

8.2.3. Court/Judges

At local option, you can track the judges hearing an appeal.

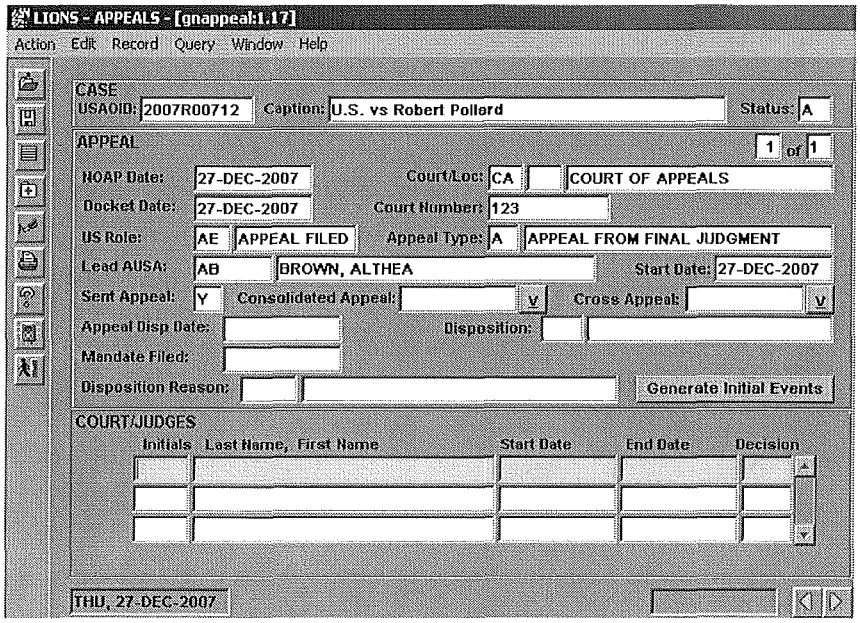

Figure 8-8: Court/Judges

Inits – Press **F9** and enter the initials for the Judge(s) hearing the appeal. The codes for this field are established by your district. (LOV) LIONS will automatically fill in the appropriate judge's name based on the initials previously entered.

Start Date – LIONS defaults to the current date; however, it can be changed.

End Date – Use this field to record the date the judge's involvement in the appeal ended.

Decision – Press **F9** and enter the judge's decision; e.g., **FMD** (Affirmed).

When you have completed entering Judge information, press **CONTROL + PAGE DOWN** or click to go to the **EVENT** block, as shown in Figure 8-9.

8.2.4. Event

If you previously clicked on the Generate Initial Events button, preset events will occur. Enter a Scheduled Date for these events. If any of them do not apply to your appeal, you can delete them (depending on your security access rights) by pressing **SHIFT + F6** while your cursor is in the Event field.

You can also add an event that is not one of the initial codes. Remember to enter either an **Event Date** or a **Date Scheduled**. LIONS will automatically default the **Staff Initials** to the Lead staff member you previously entered.

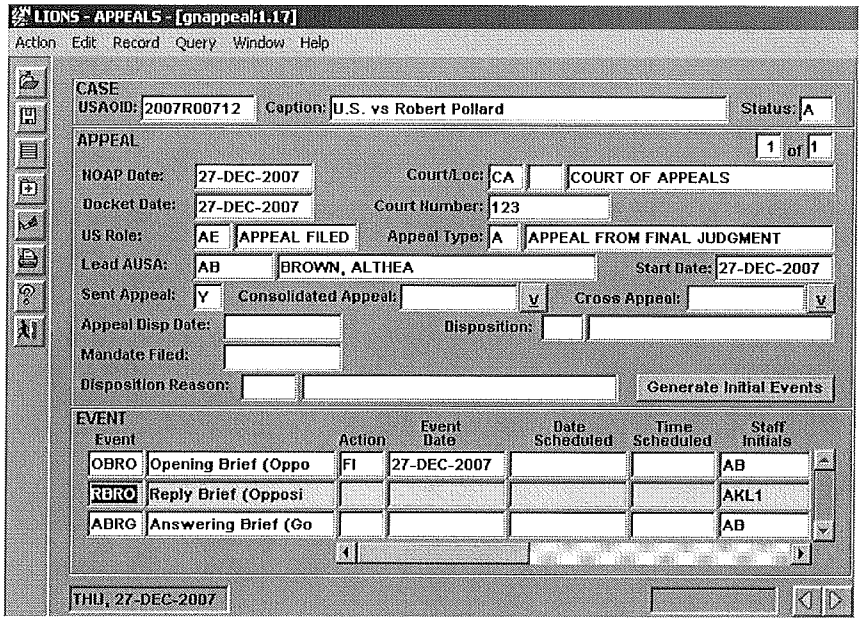
LIONS - APPEALS - [gnappeal:1.17]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712 Caption: U.S. vs Robert Pollard Status: A
APPEAL
1 of 1
NOAP Date: 27-DEC-2007 Court/Loc: CA COURT OF APPEALS
Docket Date: 27-DEC-2007 Court Number: 123
US Role: AE APPEAL FILED Appeal Type: A APPEAL FROM FINAL JUDGMENT
Lead AUSA: AB BROWN, ALTHEA Start Date: 27-DEC-2007
Sent Appeal: Y Consolidated Appeal: Cross Appeal:
Appeal Disp Date: Disposition:
Mandate Filed:
Disposition Reason:
Generate Initial Events
EVENT
Event Action Event Date Date Scheduled Time Scheduled Staff Initials
OBRO Opening Brief (Oppo FI 27-DEC-2007 AB
RBRO Reply Brief (Opposi AKL1
ABRG Answering Brief (Go AB
THU, 27-DEC-2007

Figure 8-9: Event

After entering event information and attaching the applicable participants to the events, press **CONTROL + PAGE DOWN** or click to attach participants to events, as shown in Figure 8-10.

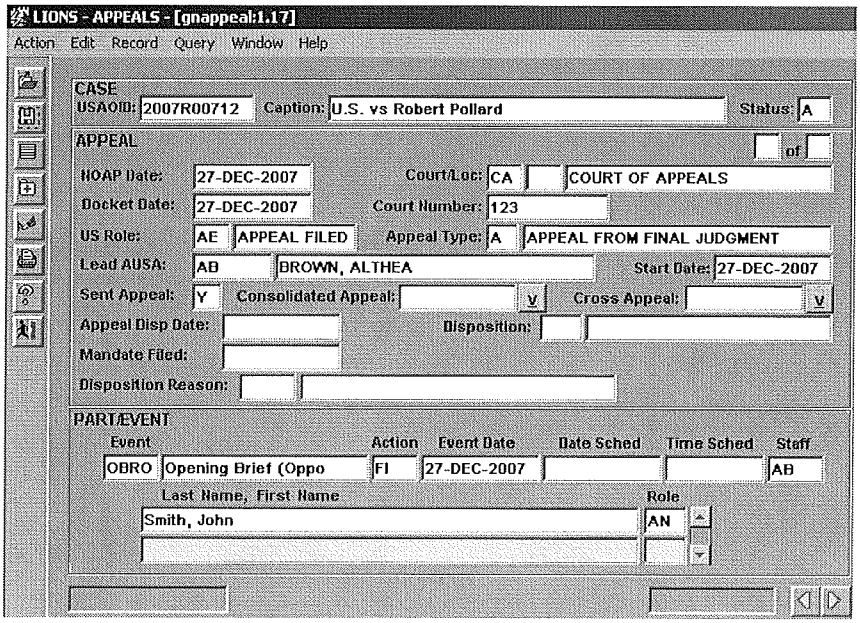
LIONS - APPEALS - [gnappeal:1.17]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712 Caption: U.S. vs Robert Pollard Status: A
APPEAL
of
NOAP Date: 27-DEC-2007 Court/Loc: CA COURT OF APPEALS
Docket Date: 27-DEC-2007 Court Number: 123
US Role: AE APPEAL FILED Appeal Type: A APPEAL FROM FINAL JUDGMENT
Lead AUSA: AB BROWN, ALTHEA Start Date: 27-DEC-2007
Sent Appeal: Y Consolidated Appeal: Cross Appeal:
Appeal Disp Date: Disposition:
Mandate Filed:
Disposition Reason:
PART/EVENT
Event Action Event Date Date Sched Time Sched Staff
OBRO Opening Brief (Oppo FI 27-DEC-2007 AB
Last Name, First Name Role
Smith, John AN

Figure 8-10: Participant/Event

8.3. Docketing an Appeal Only

It is sometimes necessary to open an appeal for which no lower court case has been opened in your case management system (or the case has been purged). If you need to docket an appeal only, follow the rules for opening a new civil file (see **Chapter 3**), or a new criminal file (see **Chapter 5**). It is recommended that when you docket an Appeal Only you use the Short Forms.

8.3.1. Case

The following explains the values to be entered for the Case screen.

Role - Enter **AE** (Appeal filed against US), **AN (**Appeal filed by US) or **A** (US is Amicus). (LOV)

8.3.2. Court History

The following explains the values to be entered for the Court History screen.

Court - Enter **CA** (Court of Appeals), **ST** (State Court), or **SC** (Supreme Court).

Appeal Type - Enter **A** (Appeal From Final Judgment) or **I** (Interlocutory Appeal).

Filing Date - Enter the Appeal Docket Date or the Supreme Court Docket Date.

Court Number - Enter the number assigned by the Court of Appeals or Supreme Court.

8.3.3. Participant

The following explains the values to be entered for the Participant screen.

Role - Enter **AE** (Appellee), **AN (**Appellant) or **A** (Amicus).

8.3.4. Relief (Civil Only)

The following explains the values to be entered for the Relief screen.

Type of Relief - Enter **N** (Nonmonetary).

Requested By - Enter **G** (Government) if we filed the appeal or **O** (Opposing Party) if the appeal has been filed against us.

8.4. Closing Appeal Records

Normally, you should close the appeal record when the opinion of the Court of Appeals is received. If you want to know that a Petition for Writ of Certiorari has been filed, you can wait until the time for filing a Petition for Writ has passed. If a Petition for Writ of Certiorari is filed, at local option, you can leave the appeal open until writ is granted or denied. If Writ is granted, open a new appeal record.

When you are ready to close an appeal, select the Appeal screen from either the Case Summary screen or the Civil or Criminal pull-down Menus. Enter the following information:

Disposition Date - Enter the date a decision was made by the Appellate Court.

Disposition - Enter the appropriate Appellate Disposition code; e.g., **FA** (Favorable to US). (LOV)

Mandate Filed - Enter the date the mandate was filed. If you enter a date in this field LIONS will automatically create an event of **MAND** (Mandate).

Disposition Reason - At local option, you can track a reason that further defines the disposition; e.g., **AFMD** (Affirmed). (LOV)

When you press **CTRL + PAGE DOWN** from the Appeal screen, you will go through a series of records, including the Assignment, Opposing Counsel, and Judge. Enter an End Date in each one of the records. At local option, enter a Decision by Judge (AR for Affirmed and Reversed, for example). The purpose of the Decision field is to allow the district to track the individual members of a panel's decision.

9.0 OVERVIEW OF DOCUMENT GENERATION

9.1. Document Generation Procedures

The Document Generation Module has been designed to combine the features of WordPerfect and Oracle. The information needed to complete documents is extracted from the LIONS database, stored in a secondary merge file, and merged with standard documents (primary file). (For a detailed discussion of WordPerfect's merge function, refer to the WordPerfect Reference Manual, which was provided with your software.)

The standard documents initially provided are Victim/Witness letters and notices. These documents can be used as they are or they can be customized for your office. This chapter will discuss the three ways documents can be generated and how to customize the standard letters for your office.

> The Victim/Witness module in LIONS is no longer supported by CMS. Victim cases are now tracked through the Victim Notification System outside of LIONS.

In order to successfully print Victim/Witness letters and notices, you must make sure that each individual who is to receive a notice or letter is entered into LIONS as a participant with a type of **I** (Individual) with a role of **V%** (i.e., any victim role), **WT** (witness) or **%W** (i.e., any other witness role). Refer to Chapters 4 (Civil Update) and 6 (Criminal Update) for further discussion on entering LIONS participants.

9.2. The Document Generation Menu

To access the Document Generation Menu select **ALT + D** from the LIONS main menu or click on **Documents** as shown in Figure 9-1.

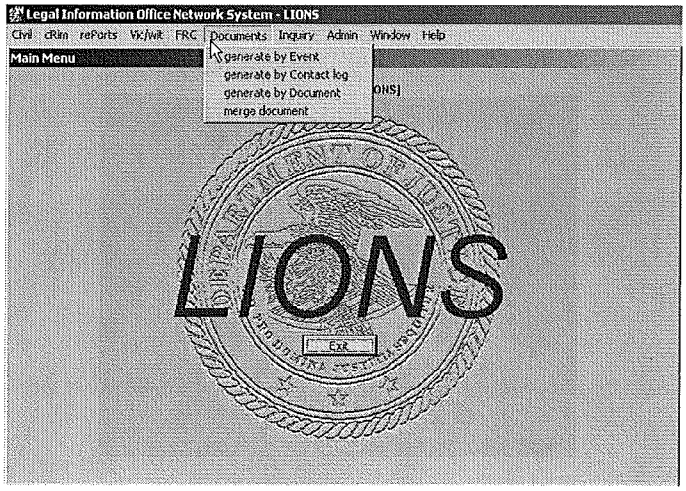
Legal Information Office Network System - LIONS
Civil cRim reports Vk/Wit FRC Documents Inquiry Admin Window Help
Main Menu
generate by Event
generate by Contact log
generate by Document
merge document
LIONS

Figure 9-1: Document Generation Menu

> In order to generate documents properly, victim/witness names and pertinent personal information must be entered into LIONS. Refer to **Chapters 4 (Civil Update)** and **6 (Criminal Update)** for further discussion on entering LIONS participants.

There are three types of documents available through this module: Batch, Event, and Contact Log. Each method determines what information will be printed.

- **Generate by Event** - These documents require the user to enter a document code in the event record, and should be used when the notice or letter refers to ONLY one defendant in the case.
- **Generate by Contact Log** - These documents require the user to enter a document code in a contact log record, and should be used when the notice or letter is to be directed to ONLY one victim/witness. A separate letter or notice will be printed for each defendant in the case.
- **Generate by Document (Batch)** - These documents can be printed for all cases with a LIONS received date in a specified range. The received date is usually the date the matter or case was received in your office.

There are two methods for printing documents through this module:

- **Merge Document (No Print)** - This option allows the user to merge LIONS data into a pre-selected WordPerfect document and save it to the C:\DATS directory without printing it. This is useful if the standard document must be customized for a specific case or circumstance.
- **Merge Document (Print)** - This option allows the user to merge LIONS data into a pre-selected WordPerfect document and print it immediately.

9.3. Event Documents

Event documents should be used when documents must go to *ALL* victims or witnesses of an event. Make sure that you have first entered your victims and/or witnesses through the Participant Form.

To use event documents, the user must first enter an event. Select the Event option off the Civil or Criminal Update, General Update menu. The following screen displays.

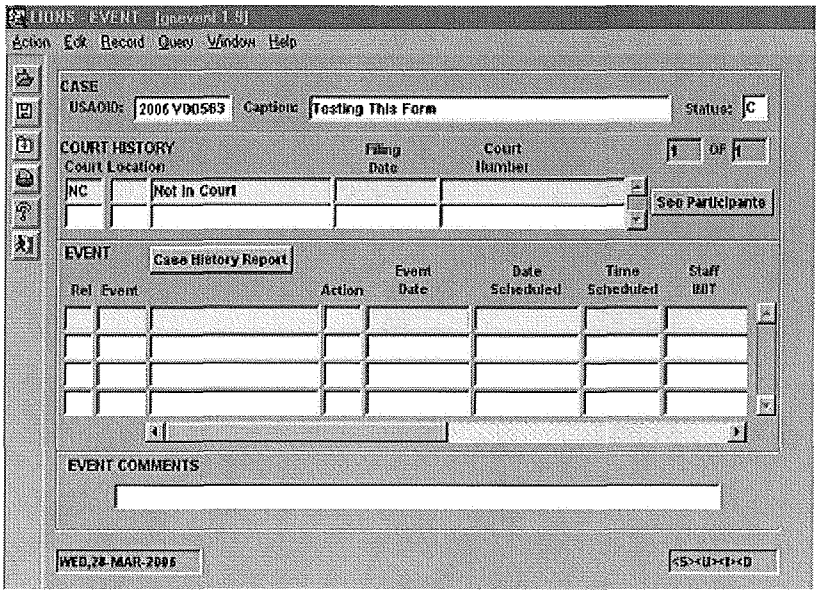

Figure 9-2: Event Screen 1

Enter the **USAOID** or a partial **Caption** of the case and Press **F8** to query up your case to add the event information. For more information on entering LIONS events, refer to Chapter 4, Section 4.11 for civil events, and Chapter 6, Section 6.14 for criminal events.

If a document refers to a scheduled event (e.g., trial, sentence hearing), enter the **Date Scheduled** and the **Time Scheduled**. Scroll to the right to enter additional information pertaining to the event that will print in your document, and to add the document information.

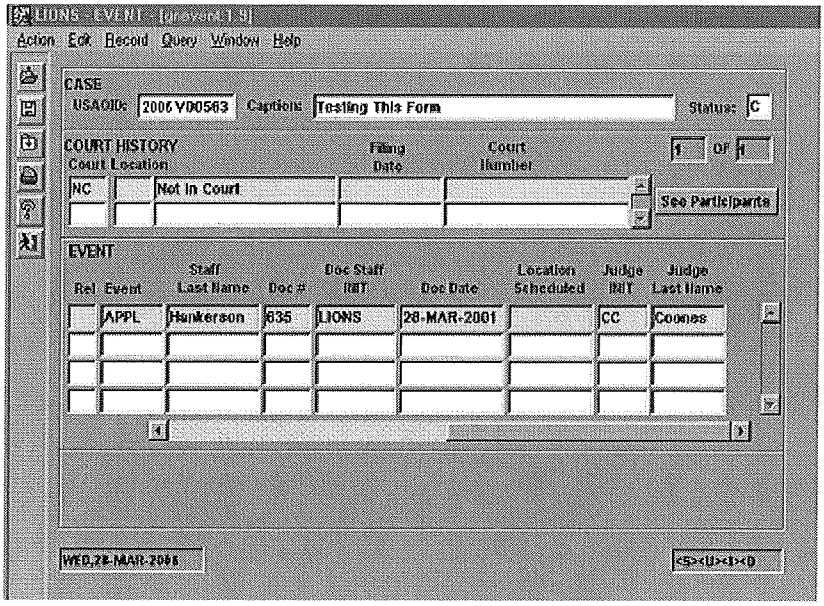

Figure 9-3: Event Screen 2

The following fields are used in Document Generation:

- **Doc #** - Enter the code for the document you wish to print. (LOV)
- **Document Staff Initials** - LIONS will automatically default the Document Staff Initials to the user who is logged on.

For security reasons, the Document Staff Initials cannot be changed. The user who enters the event must print the document.

- **Document Date** - Enter the date the document will be printed. This date defaults to today's date, but can be changed. It is used for the date range of document dates in Document Generation. If you enter a date other than today, keep a record of this date for use when you generate your documents.

If the document refers to a Judge and hearing location, enter this information in the appropriate fields.

- **Participant/Events** - It is critical that you attach the defendant(s) to the event that the document will be referencing. If you fail to make this attachment, the document will print without the defendant's name. If you attach more than one defendant to the event, a document will be printed separately for each defendant. In other words, if there are three victims in the case, and you attach two defendants to the event, a total of six letters will be printed; i.e., each victim will receive two letters.

9.3.1. Generating Documents by Event

To generate documents by event, select the Documents option off the LIONS Main Menu, and the Generate by Event option. The Document Generation from Event Records screen displays as shown in Figure 9-4 below.

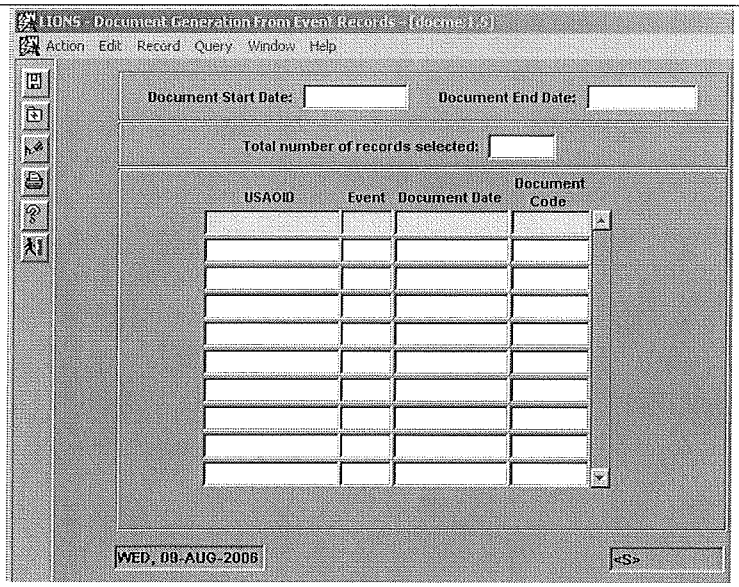

Figure 9-4: Document Generation from Event Records

Multiple documents can be printed at a time. Enter the range of dates within which the Document Date falls. This is the document date you entered in the event record.

- **Document Start Date** - Enter the beginning date of the range.
- **Document End Date** - Enter the end date of the range and press ENTER.

The USAOID, Event code, Document Date, and Document Code will be shown for all events with Document Dates that fall within the specified range.

Click on the Create Document Data button to generate your documents. You will receive the error message shown in Figure 9-5 below.

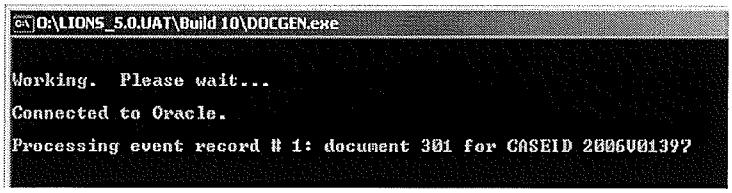
O:\LIONS_5.0.UAT\Build 10\DOCGEN.exe
Working. Please wait...
Connected to Oracle.
Processing event record # 1: document 301 for CASEID 2006V01397

Figure 9-5: Document Generation Error Message

This is an informational window that will be cleared from the screen if the merging process is successful. During this process, the secondary merge document is being created from the event information previously entered. If you receive any errors in this window, they indicate that the secondary merge process has failed; contact your System Manager for assistance.

After the secondary merge document(s) has been created, you can choose to merge it with the primary WordPerfect document and print it immediately, or you can choose to merge it and not print. See **Paragraphs 9.6 and 9.7** below for further instructions on printing documents.

9.4. Contact Log Documents

Contact Log documents should be used when a notice or letter must go to only one victim or witness. To use this feature, the user must first make a contact log entry for the victim or witness who is to receive the letter or notice. Refer to **Chapter 7, Section 7.7** for instructions on making contact log entries.

On the Contact Log screen shown below, the Contact Date, Staff (Initials) and Document Code are fields used to generate documents.

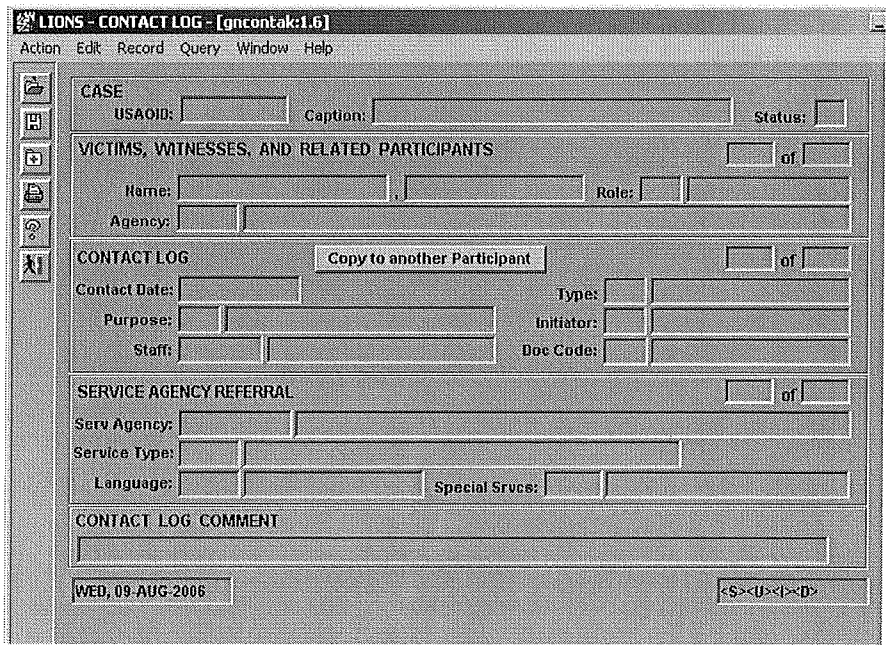

Figure 9-6: Contact Log

- **Contact Date** - Enter the date the contact was made with the Victim/Witness.
- **Staff (Initials)** - The user whose initials are entered in this field is the only one who can generate the document specified in the Doc Code field. This is in keeping with LIONS security.
- **Doc Code (Document Code)** - Enter the code for the document you wish to print. (LOV)

Multiple Contact Log entries can be made with different documents requested on each entry. Keep a record of the Contact Date entered for each Contact Log entry for which a Document is requested. These dates will be used to generate documents later.

9.4.1. Generating Documents by Contact Log

To generate documents by Contact Log, select the Documents option off the LIONS Main Menu, and the Generate by Contact Log option. The Document Generation from Contact Log Records screen displays.

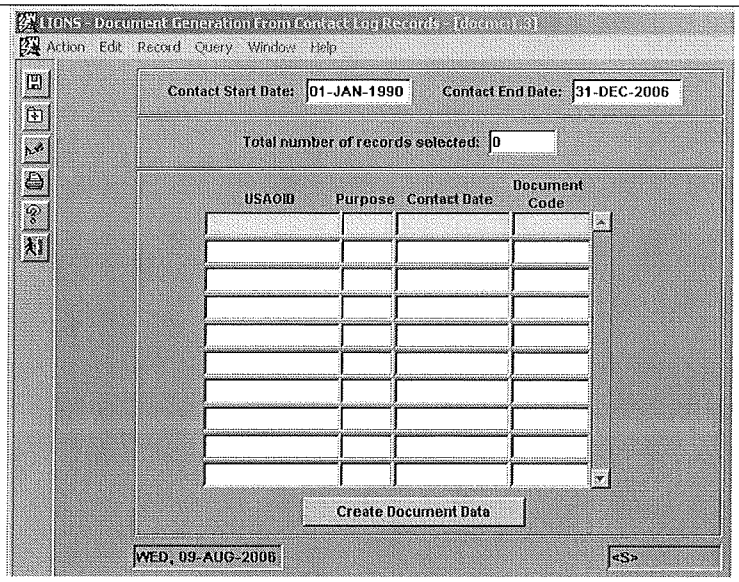

Figure 9-7: Document Generation from Contact Log Records

Enter the range of dates for which contact log entries have been made and a document code has been added.

- **Contact Start Date** - Enter the beginning date of the range.
- **Contact End Date** - Enter the ending date of the range and press ENTER.

The USAOID, Contact Purpose, Contact Date and Document Code will appear for each Contact Log entry with a document code where the Contact Date falls within the specified range.

Click on the Create Document Data to create the secondary merge files from the data entered in the Contact Log. The error message shown in Figure 9-5 displays. This pop-up window will clear when the merge process successfully completes.

If you receive any errors that the merge process was not successful, contact your System Manager for assistance.

9.5. Batch Document

This option allows the user to print documents based on the LIONS received date. A separate document code does not need to be entered in any other LIONS screen.

When a batch document is requested, a separate notice or letter will be printed for each defendant to each victim or witness in the case. In other words, if there are three victims and three defendants in the case, each victim will receive three letters/notices; a total of nine letters/notices would be printed.

To print batch documents, select the **Documents** option off the LIONS Main Menu and the Generate by Document option. The Document Generation by Document screen displays.

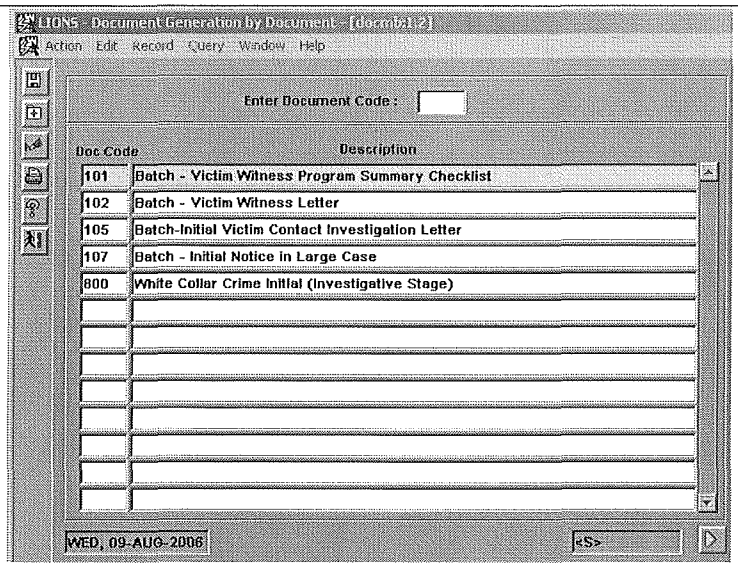
LIONS - Document Generation by Document - [docnbk1 2]
Action Edit Record Query Window Help
Enter Document Code :
Doc Code
Description
101 Batch - Victim Witness Program Summary Checklist
102 Batch - Victim Witness Letter
105 Batch-Initial Victim Contact Investigation Letter
107 Batch - Initial Notice in Large Case
800 White Collar Crime Initial (Investigative Stage)
WED, 09-AUG-2006
<S>

Figure 9-8: Document Generation by Document

Use the DOWN ARROW or mouse to highlight the document you wish to print then click on the arrow button in the bottom right corner of the screen. If you know the number of the document you wish to print, you can enter the number at the **Enter Document Code** prompt in the top block. The Document Generation by Document screen displays for the specified document.

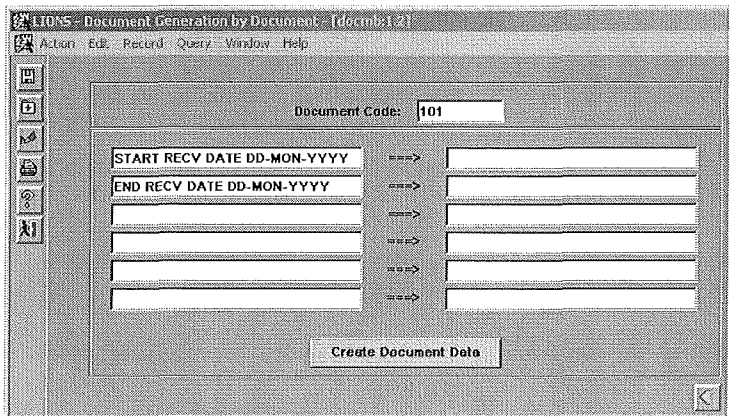
LIONS - Document Generation by Document - [docnbk1 2]
Action Edit Record Query Window Help
Document Code: 101
START RECV DATE DD-MON-YYYY
END RECV DATE DD-MON-YYYY
Create Document Data

Figure 9-9: Document Generation by Document for a Specified Document

Enter the range of dates for all cases that you wish to print the selected batch document. The date used is the LIONS received date. The document will print for all matters/cases that have a LIONS received date within the range, and victims or witnesses entered. If there are not victims or witnesses entered into LIONS, batch documents will fail.

- **Start Recv Date** - Enter the beginning date of the range.
- **End Recv Date** - Enter the ending date of the range.

Click on **Create Document Data**. You will see the pop-up window shown in Figure 9-5. This is an informational window which will be cleared from the screen if the merging process is successful. During this process, the secondary merge document is being created from the information previously entered into LIONS.

If you receive any errors in this window, they indicate that the secondary merge process has failed. Contact your System Manager for assistance.

9.6. Print Options

9.6.1. Merge Document (No Print)

This option allows the user to merge the secondary WordPerfect file that contains LIONS data, into the standard WordPerfect document. Files with a *.dat and *.fin extensions along with a MERGE.CNT file are created in the C:\DATS directory for the document code. This is useful if the standard document must be customized for a specific case or circumstance. For example, the following documents might be created during this process: worked

101.dat Secondary merge file containing database information

101.fin Final document with secondary data merged into the standard document.merge.cnt

To edit the *.fin files, the user must access them through WordPerfect 6.1 on their workstation. The files are located in the C:\DATS directory. You will note that all the LIONS data has been merged into the primary WordPerfect document. Any change can be made to the document(s) before printing.

9.6.2. Merge Document (Print)

This option allows the user to merge the secondary WordPerfect file that contains the LIONS data into a standard WordPerfect document and print it immediately. All documents will print to the printer defined for your WordPerfect documents.

9.7. Getting Started (Suggested Plan of Action)

Before using the document generation module, some preparation is needed. The documents provided are the only ones that can be used at this time. If you have a need for additional documents contact the Case Management Staff for assistance.

- **WordPerfect** - All LIONS documents are stored in this directory: O:\ORAAPP\EXE\LIONS\LIONSDOC. All documents will print to the printer defined for your WordPerfect documents. Use normal WordPerfect commands to print or retrieve documents.

Appendix C is a listing of all Victim/Witness letters provided with this system. If you decide to use one or more of these document, you must first review and tailor them to include local information.

- **Identify** - Select a standard document from within LIONS.
- **Print** - Once identified, print out a hard copy.
- **Highlight** - Highlight the variable fields in the entire document.
- **Verify** - Verify that the variable fields used in the standard document are the ones used in your office documents. If not, then make a notation of what changes need to be made and contact your System Manager *before* you make any changes to the document.

Changes to variable fields will require a change to the background SQL statement that pulls the data from the database into the secondary merge file. Presently, these changes must be made by EOUSA. If you need changes made, contact your System Manager. If changes are made to the document without changing the SQL statement, the document will fail.

- **Modifications** - You should make the following changes in the document using WordPerfect.

Enter local information in lieu of the notes in brackets; e.g., the United States Attorney's name.

Add printer commands, styles, etc.,

Modify documents to incorporate local language without renumbering the merge codes. They can be rearranged as long as you maintain the original numbers, since those numbers reflect the order of the fields in the SQL statement.

Changing the numbering of the Merge Codes will cause the document to fail.

You may enter and update as many documents as you choose during a session. When you are finished, exit WordPerfect.

10.0 CLOSED FILE MANAGEMENT

10.1. Contents of Closed Files

When a file is closed, it should contain substantive records to provide "adequate and proper documentation" to understand the nature of the case and the U.S. Attorney's legal and administrative handling of it.

The attorney closing the case is responsible for ensuring that the files are complete and contains all necessary documentation and that appropriate items have been destroyed or returned. For example, duplicate items should be destroyed. Material which belongs to other individuals (personal items), agencies, or clients, and is clearly not the property of the U.S. Attorney, should be returned. This is especially important in the case of evidence, which should be returned to the investigative agency which obtained it.

EOUSA Resource Manual 124 states: "Papers in closed litigative case files that are duplicated in the records of Federal courts may be removed and destroyed." If in doubt as to whether or not certain papers in the file are duplicated in Federal courts, they are to be retained in the case file. Items listed below that are generally duplicated in Federal courts are identified with an asterisk (*).

> The items listed below are not meant to be all-inclusive! There may be additional documents relating to immigration, bankruptcy, or other matters which will require a decision on the part of the U.S. Attorney's office as to whether or not copies are filed in the Federal court, or if they are required for a basic understanding of the file or for file integrity.

The case file *should* contain:

indictments *

litigation reports

investigative reports

pertinent Grand Jury materials, including transcripts, which should be packaged based on local procedures. For example, many districts place Grand Jury material in large envelopes or other containers, seal them, and mark them "Grand Jury Material," and place them in boxes along with the rest of the case file material.

all pleadings *

all external and internal correspondence

> The National Archives and Records Administration defines correspondence as "Letters, postcards, memorandums, notes, telecommunications, and any other form of addressed, written communications that are sent and received." These differ from hand-written notes, which are usually written to the file or to other attorneys or supervisors, and which may or may not be considered record material based on the content and whether or not they add to a proper understanding of case actions.
>
> "External" refers to correspondence received and sent to outside activities (law firms, other Federal, State and local agencies, etc.). "Internal" would include any formal correspondence received or sent between the USA and EOUSA, other Department components, or within the USA component itself.

discovery documents filed with the court; e.g., interrogatories, requests for production, admissions, authentications, indexes, etc. *

evidentiary materials cited in pleadings or arguments or pertinent to decisions reached for strategies pursued in litigation (could be attached to pleadings)

documents entered as official exhibits for trials and depositions (excluding oversized presentation exhibits)

relevant depositions

transcripts; e.g., trial, hearings, oral argument, etc. *

all court orders, decisions, judgments, findings, stipulations, etc. *

all relevant settlement documents and appeal documents *

notes and memoranda that explain and document strategies devised and decisions reached during the litigation

documents having intrinsic research value

asset forfeiture/debt collection documents (some U.S. Attorneys' offices establish a debt collection file maintained separately from the litigation case file (*see* ***United States Attorneys' Manual 3-13.310, Comprehensive Retention Schedule, Item 15***).

Form USA-207, Notice to Close Legal Case File, signed by the Assistant U.S. Attorney

The case file *should not* contain:

drafts, unless they were circulated or made available to employees other than the creator, for official purposes, such as approval, comment, action, recommendation, follow-up, or to communicate with staff about case business and they contain unique information, such as substantive annotations or comments that add to a proper understanding of the case actions

telephone notes unless they add to a proper understanding of case actions

work files unless they add to a proper understanding of case actions

research materials

duplicate copies of documents

published materials

notes without future research value

documents collected during discovery but not used as official exhibits, documents or proceedings not cited in court, or documents not directly used in arguing the case or developing the litigation strategy

original submitted documents (include, however, a note to the file detailing the disposition of the submitted documents -- usually they are returned to the agency or originator or destroyed if the originator refuses them)

oversized exhibits made for presentation purposes; e.g., charts, photographs, etc. non-paper exhibits or materials; e.g., guns, pieces of equipment, tissue samples, etc.

pertinent information recorded on micrographic, audiovisual, or electronic media unless they fully meet strict requirements specified in 36 CFR, Chapter XII. Generally, the file should contain a printed transcription of any such pertinent information.

10.2. Court Ordered Disposition of Records

10.2.1. Procedures for Court-Ordered Disposition of Records

Procedures for the court ordered disposition of records are covered by two Departmental orders:

DOJ Order 2710.7D, dated May 3, 1993, Recordkeeping and the Controlled Substance Act;

DOJ Order 2710.10A, dated April 20, 1990, Federal Court Orders for the Disposition of Official Records other than under the Controlled Substance Act.

10.2.2. Order of Deferred Entry of Judgment

Under the Controlled Substance Act, an order of deferred entry of judgment may be entered if the defendant is placed on probation not to exceed one year under 21 U.S.C. § 844 and 18 U.S.C. § 3607. At the expiration of the term of probation, the proceedings are dismissed and the defendant is discharged from probation. The Records Management Section, Justice Management Division, is responsible for maintaining the nonpublic record required by the statutes, and notifying the EOUSA.

10.2.3. Update the Criminal File for Non-public Records

Headquarters and branch offices shall identify any records in their possession which pertain to the individual on the court order for dismissal and discharge issued under the Controlled Substances Act, 18 U.S.C. 3607(a) or 21 U.S.C. 844(b)(1). Follow the procedures below to modify LIONS records when the court order is a Non-public Record.

Select Criminal, Update, General Update, Court Order Disposition from the LIONS Main Menu or access Court Ordered Disposition from Case Summary. The Court Ordered Disposition form opens as shown in Figure 10-1.

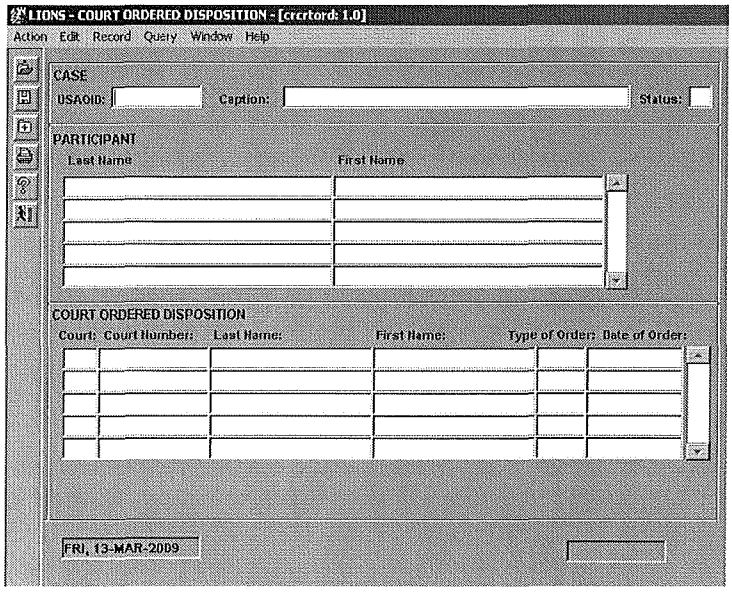

Figure 10-1: Court Ordered Disposition Form

USAOID – Query your record and LIONS will automatically populate the Caption and Status fields.

Participant (Last Name, First Name) – LIONS will query the name of the defendants attached to this record.

Court – Press F9 and select the appropriate court history record to be made non-public by the court order.

Court Number – LIONS will fill in the court number based on the court history record selected.

Last Name, First Name – These two fields will default the defendant's first name, last name from the previous participant block.

Type of Order – Press F9 and select NON for Non-Public – Court Order for dismissal and discharge issued under the Controlled Substances Act, 18 USC 3607(a) or 21 USC 844(b)(1).

Date of Order – Enter the date of the court order.

Save the record after all data has been entered. The completed 'NON' court ordered disposition record is shown in Figure 10-2.

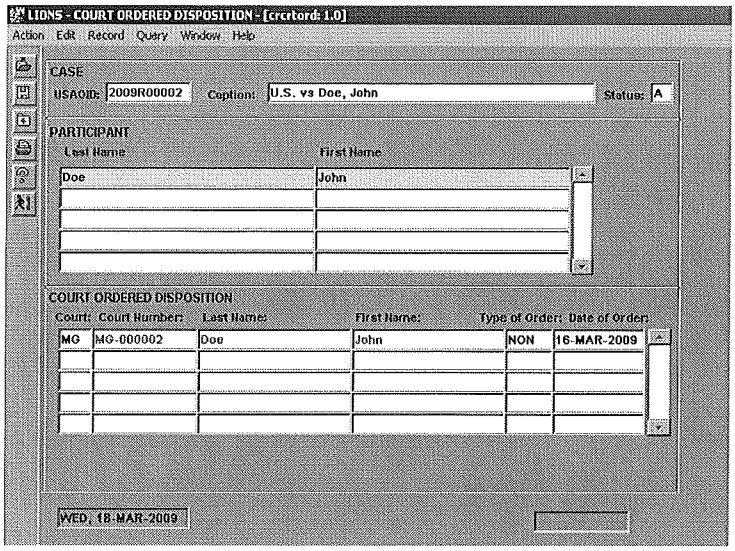

Figure 10-2: Completed NON Court Ordered Disposition Record

10.2.4. Update the Criminal File for Sealed Records

Headquarters and branch offices shall identify any records in their possession which pertain to the individual identified on the court order to seal all official records NOT covered by the Controlled Substance Act. Follow the procedures below to modify LIONS records when the court order is a Sealed Record.

Select Criminal, Update, General Update from the LIONS Main Menu or access Court Ordered Disposition from Case Summary.

USAOID – Query your record and LIONS will automatically populate the Caption and Status fields.

Participant (Last Name, First Name) – LIONS will query the name of the defendants attached to this record.

Court – Press F9 and select the appropriate court history record to be sealed by the court order.

Court Number – LIONS will fill in the court number based on the court history record selected.

Last Name, First Name – These two fields are populated from the last name, first name from the previous participant block.

Type of Order – Press F9 and select Seal for Sealed – Court Order to seal all official records NOT covered by the Controlled Substance Act.

Date of Order – Enter the date of the court order.

Save the record after all data has been entered. The completed 'SEAL' court ordered disposition record is shown in Figure 10-3.

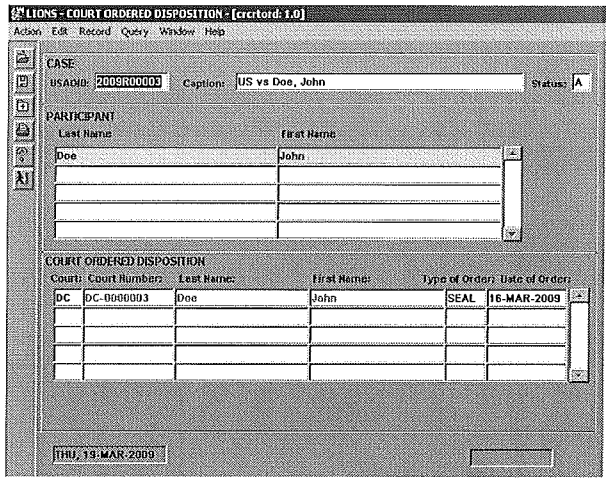

Figure 10-3: Completed SEAL Court Ordered Disposition Record

NOTE: This functionality does not replace the procedures to seal defendant's counts in the participant count block for VNS.

10.2.5. Update the Criminal File for Expunged (CSA) Records

Headquarters and field offices shall identify any records in their possession which pertain to the individual on the court order to expunge all official records issued under the Controlled Substances Act, 18 USC 3607(c) or 21 USC 844(b)(2). Follow the procedures below to modify LIONS records when the court order is an Expunged (CSA) Record.

Select Criminal, Update, General Update from the LIONS Main Menu or access Court Ordered Disposition from Case Summary.

USAOID – Query your record and LIONS will automatically fill in the Caption and Status fields.

Participant (Last Name, First Name) – LIONS will query the name of the defendants attached to this record.

Court – Press F9 and select the appropriate court history record to be expunged by the court order.

Court Number – LIONS will fill in the court number based on the court history record selected.

Last Name, First Name – These two fields are populated from the last name, first name from the previous participant block.

Type of Order – Press F9 and select CSA for Expunge (CSA) – Court Order to expunge all official records issued under the Controlled Substances Act, 18 USC 3607(c)or 21 USC 844(b)(2).

Date of Order – Enter the date of the court order.

Save the record after all the data has been entered. Type of order Expunged (CSA) disassociates the original defendant from the case and associates an expunged defendant to the case. The defendant's first name and last name will change to Expunged, Expunged. The completed 'CSA' court ordered disposition record is shown in Figure 10-4.

Users must manually delete the defendant's name and/or personal identifiers from the free-text fields (i.e., Caption, Comment fields).

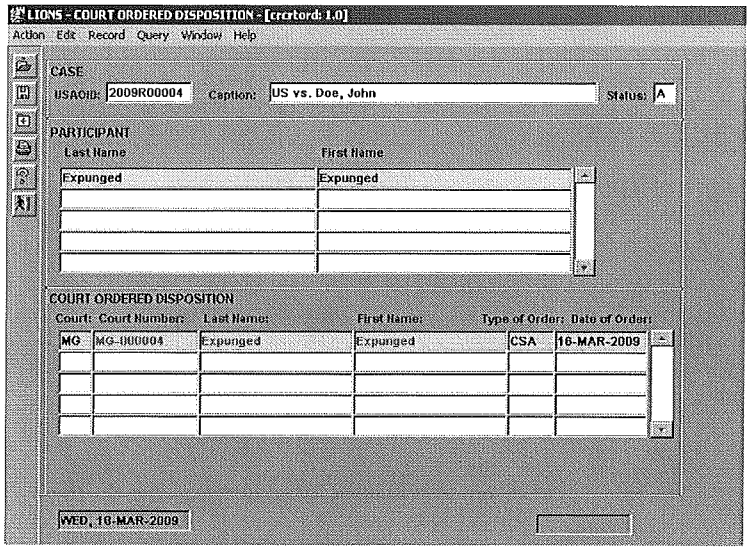

Figure 10-4: Completed Expunged (CSA) Record

10.2.6. Update the Criminal File for Expunged (General) Records

Headquarters and field offices shall identify any records in their possession which pertain to the individual identified on the court order to expunge all official records issued under the Controlled Substances Act, 18 USC 3607(c) or 21 USC 844(b)(2). Follow the procedures below to modify LIONS records when the court order is a Nonpublic Record.

USAOID – Query your record and LIONS will automatically populate the Caption and Status fields.

Participant (Last Name, First Name) – LIONS will query the name of the defendants attached to this record.

Court – Press F9 and select the appropriate court history record to be expunged by the court order.

Court Number – LIONS will fill in the court number based on the court history record selected.

Last Name, First Name – These two fields are populated from the last name, first name from the previous participant block.

Type of Order - Press F9 and select GEN for Expunge (General) – Court Order to expunge all official records NOT covered by the Controlled Substances Act.

Date of Order – Enter the date of the court order.

Save the record after all the data has been entered. Type of order Expunged (General) disassociates the original defendant from the case and associates an expunged defendant to the case. The defendant's first name and last name will change to Expunged, Expunged. The completed 'Gen' court disposition record is shown in Figure 10-5.

Users must manually delete the defendant's name and/or personal identifiers from the free-text fields (i.e., Caption, Comment fields).

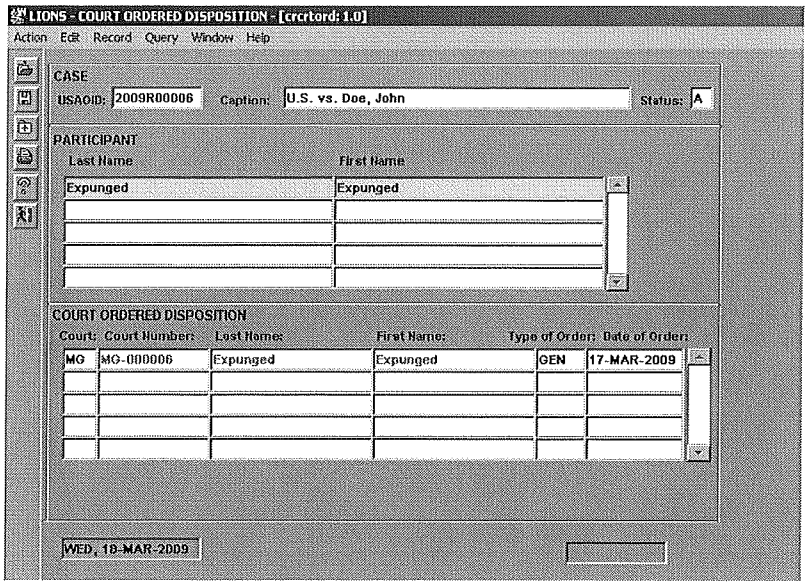

Figure 10-5: Completed Expunged (General) Record

10.3. Physical Location of Closed Files and Local FRC Numbers

LIONS can be used to track the location of physical files in your office, as well as at the Federal Records Center

The Federal Records Center (FRC) module of the LIONS application is designed to assist USAO personnel in preparing files ready for shipment to the FRC. Data entered into this module will result in the following benefits to the USAO:

Generates listing of cases which must be attached to the SF 135 form (Records Transmittal and Receipt).

Maintains an on-line listing of the Accession Number, Accession Location, and Box number for each file sent to the FRC with easy inquiry capabilities.

Provides a worksheet for USAO personnel responsible for shipping records to the FRC.

The Miscellaneous Numbers screen illustrated in Figure 10-6, allows you to track the physical location of files prior to being sent to the Federal Records Center and local FRC numbers.

To access the Miscellaneous Numbers screen, go to the Main LIONS Menu and select either **Criminal** OR **Civil**. From the pull-down menu select **Update**. From the Update menu select **General Update**, and then select **Miscellaneous Number**. Accessing the screen from the Criminal option will give you criminal files; accessing the screen from the Civil option will give you civil files.

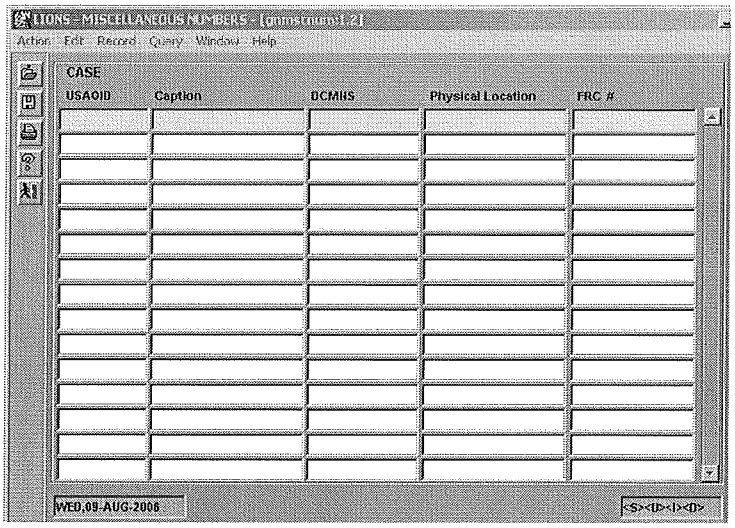

Figure 10-6: Miscellaneous Numbers Form

You can enter data for one case or for multiple cases. If you perform a blind query (**F8**) all criminal or civil files in the database will be called up. You can query up a specific case by keying in the USAOID and pressing **F8**; you can also enter a partial USAOID; e.g., **1996R003%** which would give you all criminal files that begin with 1996R003; e.g., 1996R00301, 1996R00302, etc.

Physical Location - You can track the location of files that are stored in the office prior to being sent to the Federal Records Center. Enter the appropriate location; e.g., File Room - 2nd floor. This is a local field with definitions established by your district.

FRC # - Some districts assign an in-house number to files that are stored in the office prior to being sent to the Federal Records Center. This is a local field and the numbers are established by your district.

10.4. The FRC Module

The FRC Module has been designed to allow you to track closed files in accordance with the Department's records management program. See the **United States Attorneys' Manual, Title 3-13.310**.

To access the FRC module from the LIONS Main Menu, click on the FRC option or press **ALT + F**. The following pull-down menu, as shown in Figure 10-7, displays.

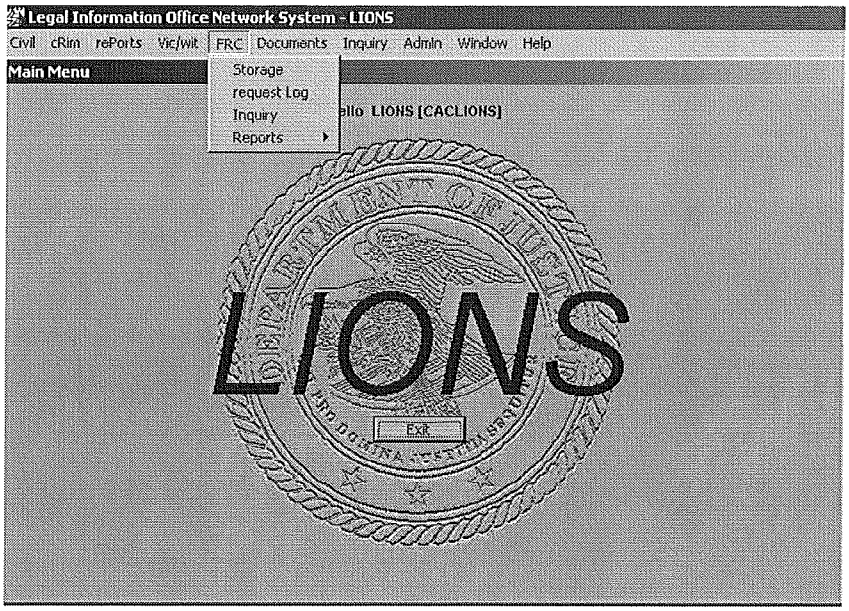

Figure 10-7: Federal Records Center Menu

There are several options on this pull-down menu. The STORAGE option allows you make entries into an automated log of all files to be shipped to the FRC. The REQUEST LOG option allows you to keep an automated log of all requests made to the FRC for retrieval of files. The INQUIRY option allows you to query up information about a file that has already been shipped to the FRC to ascertain the accession number, accession location, and box number.

Before you enter data into the **FRC STORAGE** form, it is recommended that you run the report called **Cases Not Sent to FRC** off the FRC Reports Menu. This report will provide a worksheet of all cases closed within a date range entered by the user. The following information is listed on the report:

Case Caption - AUSA - Court - Court Number - Disp Date - USAO# - Case Destruction Date

Additionally, it provides spaces to enter the following information by the individual responsible for gathering the files for shipment:

Accession # - Box Number - Number of Folders in the Case - Folder Description

After the worksheet is completed and files are boxed for shipment to the FRC, the user is ready to enter data into the **FRC STORAGE** form.

10.5. FRC Storage

To access the FRC Storage form from the FRC pull-down menu, click on the option called Storage or press **S**. The FRC Storage form screen opens, as shown in Figure 10-8. When the form opens, there is a message asking the user to select which number is used to ship files to the FRC: the system generated USAOID or an office designated FRC number that is assigned to the file after it is closed.

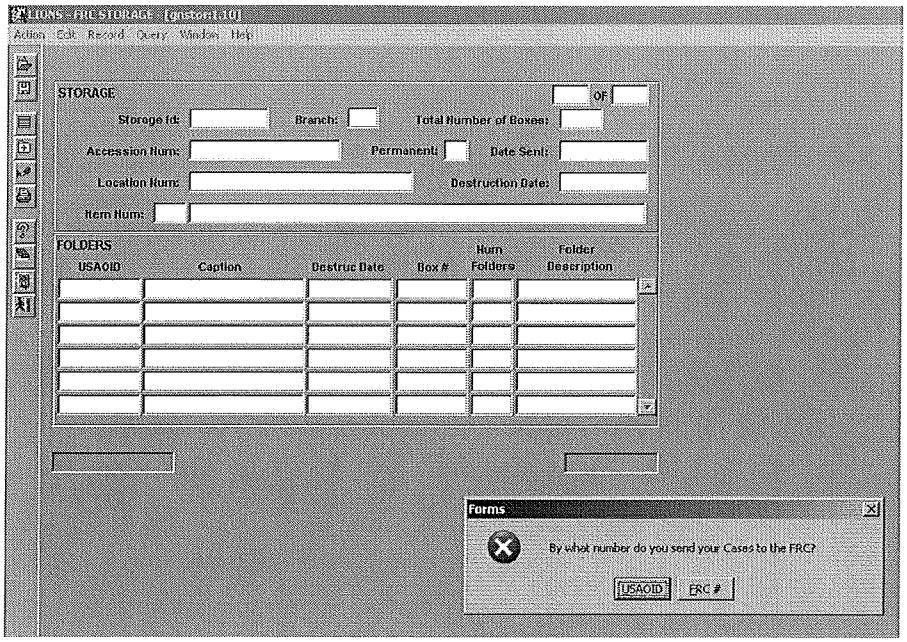

Figure 10-8: FRC Storage Form with Pop-up Question

The answer to this prompt will dictate what number appears in the lower left-hand column of the screen. If an office is going to use the FRC number to ship files, this number *MUST* be entered into LIONS. You can do so through the Miscellaneous Numbers screen discussed in Section 10.3 of this chapter.

Once the user has selected the kind of number used to ship files to the FRC, the full screen displays, as shown in Figure 10-9.

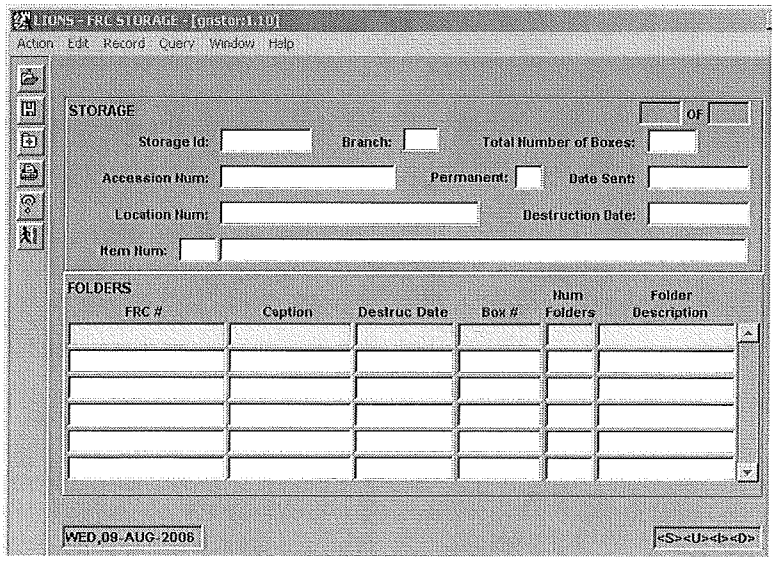

Figure 10-9: FRC Storage Form

The form will be in INSERT mode, and the cursor will be at the field called Total Number of Boxes when you open the form. The Storage ID and the Branch will be defaulted by LIONS.

Storage ID - This is a system generated number which is created when the Total Number of Boxes is entered for a new Accession group; it can be used to query the group.

Branch - Enter the code of the USAO branch shipping the records to FRC. The code will be defaulted to the Branch of the user who is logged on and entering data into this screen; it can be changed. (LOV)

Enter the following information:

Total Number of Boxes - Enter the total number of boxes in the Accession. Format is NNNN; e.g., **0050**.

Accession Number - Enter the Accession number for the group being shipped. This number is not required on initial entry of the group, but will be necessary to print the report to accompany your shipment to the FRC.

Date Sent - Enter the date the shipment was sent to the FRC in the following format DD-MON-YYYY.

Location Num - Enter the storage location at the FRC for the group shipped. This is a free-form field.

Destruction Date - Enter the date files shipped in the group may be destroyed by the FRC. When cases are queried in the lower block of this form, the case destruction date displays. The Accession Destruction Date should be the latest of all case destruction dates for the group.

Item Number - Enter the USAO Item Number which best describes the kind of files which will be shipped in the group; e.g., 4: Civil and Criminal Cases Involving Sentences 10 Years or Less.

After you have entered all data in the Storage block, use **CTRL + PAGE DOWN** to move to the Folders block. See Figure 10-10 below.

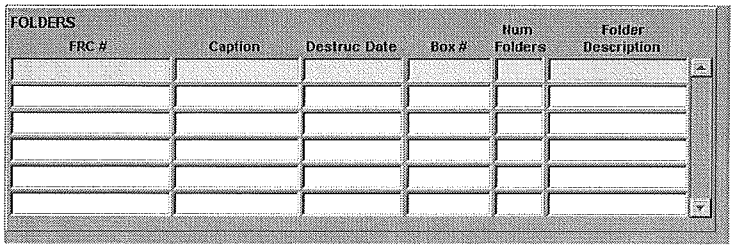

Figure 10-10: FRC Folder Block

In this block enter the following information for each case that will be shipped to the Federal Records Center in this Accession:

USAOID/FRC# - The number reflected in this column depends on how the user answers the initial prompt. A USAOID will always exist for cases in the LIONS system. However, if you answer FRC# to the initial prompt, numbers will only appear in this field if you have entered them in LIONS through the Miscellaneous Numbers screen discussed in Section 10.3 of this chapter.

Caption - The Case Caption previously entered will be queried. READ ONLY FIELD.

Destruct Date – Calculates when the status updates to **C** (Completed).

READ ONLY FIELD.

Box # - This number defaults to 0001 for all cases initially queried and should be changed. Enter the box number(s) where the case is located. If the case is located in more than one box, enter a

range of boxes; e.g., 0001-0010. Numbers should be entered in the following format: NNNN for individual box numbers and NNNN-NNNN for a range of boxes.

Num Folders - Enter the number of folders for each case within a box or a range of boxes. (Optional)

Folder Description - Enter up to 25 characters to describe the types of records within a box or a range of boxes; e.g., Correspondence. (Optional)

You can enter the same case several times in this block. You may want to do this if you are sending different types of records for a case. Use the Folder Description field to describe different types of records being sent. When the data in the bottom block accurately reflects the cases being shipped in the Accession, you are now ready to save the group.

To save data and continue in the form, press **F10**. The following message , shown in Figure 10-11, will notify you that your transaction request has been completed and your records have been saved to the database.

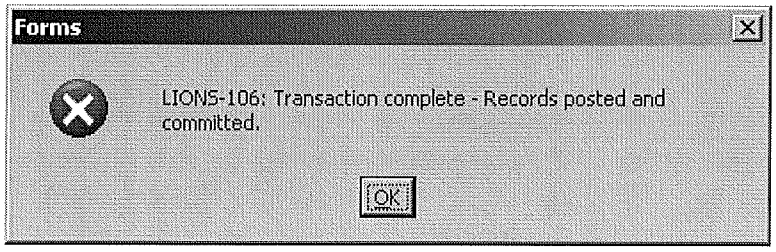

Figure 10-11: Save Message

If you completed making all entries and want to save and exit the form, click on the **Exit** icon.

To save your data and exit the form, click on the **Yes** button.

To exit the form without saving the data you have just entered, click on the **No** button.

To cancel your request and stay in the form, click on the **Cancel** button.

10.6. FRC Request Log

This screen is designed to keep a log of all requests made by the USAO to the FRC for retrieval of records. To access this screen, click on the request Log option from the FRC pull-down menu or press **L**. The FRC Request Log screen displays, as shown in Figure 10-12.

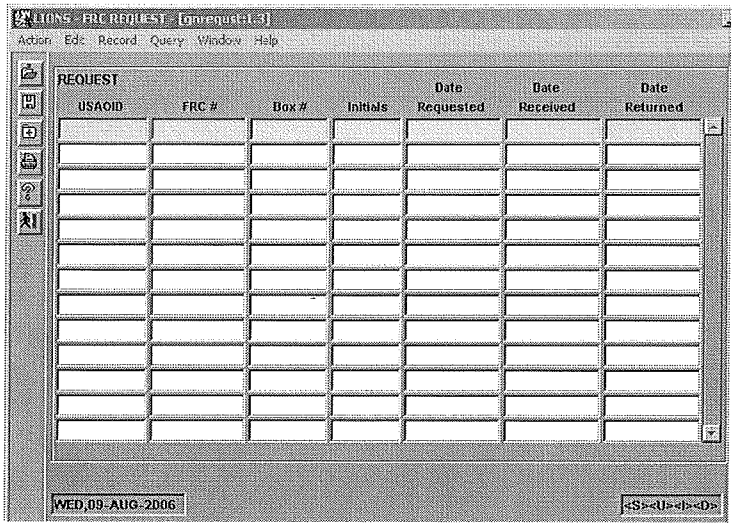

Figure 10-12: FRC Request Log

The FRC Request form will initially be in a query mode. To find a log entry, query data in any of the fields on this form. For example, if you want to find out the status of files requested by a particular staff person, press **F7** anywhere in the form, cursor to the **Initials** field, enter the initials of the staff and press **F8**. All log entries made for that staff person will be queried into the form. In addition, the wild card character, "%", can be used in the USAOID, FRC, and Initials fields.

To add a new request log entry, click on the **Exit** icon on the side toolbar and click **OK** to the "query cancelled" message. This will cancel the query and allow a new entry to be made.

Enter the following information for each file requested to be retrieved from the FRC:

USAOID - If the file has been shipped to the FRC by LIONS generated USAOID, enter this number. This field is required if the FRC# field has not been entered. You can enter a number for any case sent to the FRC even though it was not originally entered or converted to LIONS, just use the same numbering convention that is used in LIONS: YYYYANNNNN, where A = V for Civil cases, R for Criminal cases and Z for FLU (TALON) related cases.

FRC# - Enter the USAO designated FRC# if the record was shipped to the FRC with this number. The same rules apply for entering numbers that were not originally entered or converted to LIONS.

Initials - Enter the initials of the USAO staff member requesting the record. (LOV)

Date Requested - Enter the date the record was requested from the FRC in format DD-MON-YYYY.

Date Received - Enter the date the record was received by the USAO from the FRC in format DD-MON-YYYY.

Date Returned - Enter the date the record was returned by the USAO to the FRC in format DD-MON-YYYY.

When the new entry has been made, press the **F10** key to save.

An alternate method to making a new entry would be to query by the fields identified in the steps above (e.g., the Initials field), press **F6** to make a new entry and then follow the instructions above. This is a good way to make sure the new entry you want to make has not been entered before.

10.7. FRC Inquiry

To assist USAO personnel in ascertaining information necessary for successfully retrieving files or other records which have been shipped to the FRC, LIONS provides a feature to query these cases. To access

the appropriate screen, click on the Inquiry option on the FRC pull-down menu or press **I**. The FRC Inquiry screen shown in Figure 10-13 displays.

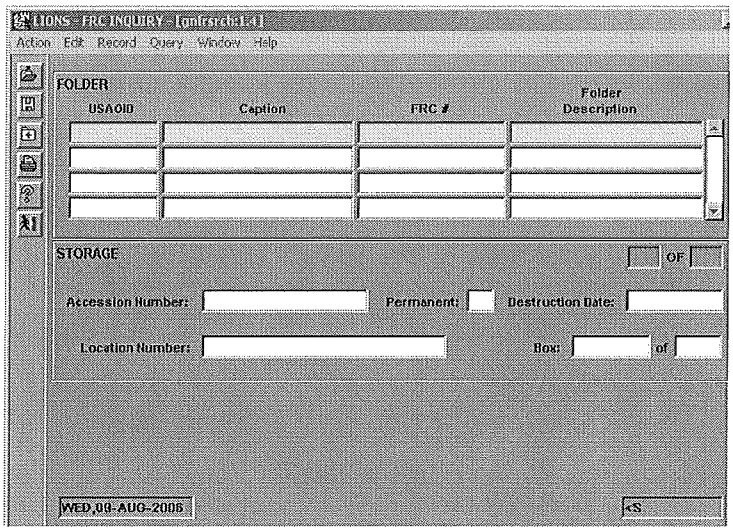

Figure 10-13: FRC Inquiry Form

To query a file that has been shipped to the FRC, you have two options. If the file was shipped using the USAOID, enter that number in the appropriate field and press **F8**. If the file was shipped using a USAO designed FRC#, then enter that number in the appropriate field and press **F8**. The following fields of information display and are READ ONLY.

USAOID - The system-generated number assigned to the file.

Caption - The Caption of the case.

Status - The status of the case at the time of shipment to the FRC displays.

FRC# - If a USAO designated FRC# was used to ship a file to the FRC, then this number displays.

Accession # - The Accession number of the group in which the file you have queried was shipped to the FRC.

Destruction Date - The Accession destruction date.

Location - The location of the Accession at the FRC.

Box - The box number in which the file is located, and the total number of boxes in the Accession; e.g., Box 1 of 50.

10.8. FRC Reports

The LIONS application provides several standard FRC reports. To access the appropriate menu to run these reports, click on the option called Reports on the FRC pull-down menu or press **F**. The following additional pull-down menu, as shown in Figure 10-14, displays.

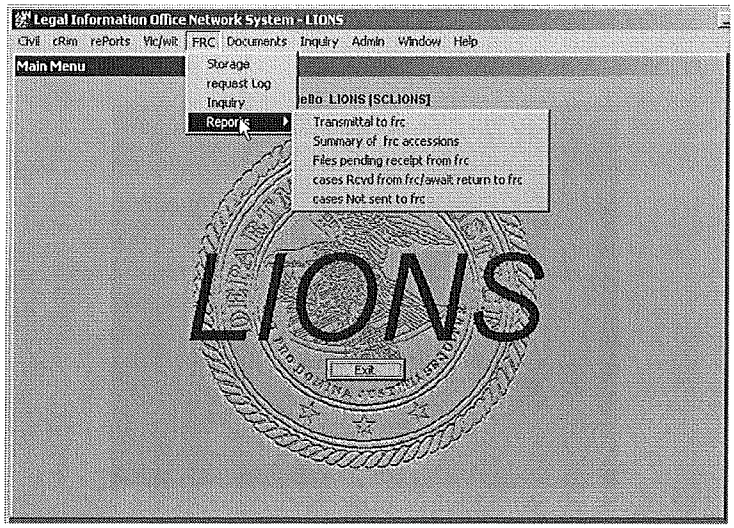

Figure 10-14: FRC Reports Menu

The following is a brief description of each report.

Transmittal to FRC - Provides the listing that should accompany the SF 135 when records are shipped to FRC. It includes all required information: Accession Number, Box Number, Accession Location, USAO#, and the names of defendants or litigants in each case.

Summary of FRC Accessions - Provides a list of all FRC Accessions shipped by the USAO and recorded in the LIONS system. It includes the following pieces of information: Accession Number, Accession Location, Date Sent to FRC, Accession Destruction Date, Total Number of Boxes in the Accession, Total Number of Files in the Accession, and the Storage ID for the Accession.

Files Pending Receipt from FRC - Provides a list of files which have been requested from the FRC that have not yet been received by the USAO.

Files Received from FRC and awaiting return to FRC - Provides a list of files retrieved from the FRC that have not yet been returned to the FRC by the USAO.

Files Not Sent to FRC - Prints a worksheet for USAO personnel responsible for collecting and boxing files to be shipped to the FRC.

11.0 REPORT GENERATION

LIONS is used to generate reports to assist United States Attorneys and the Executive Office for the United States Attorneys (EOUSA). These reports:

Allow districts to create caseload calendars for individual employees, as well as units in the office.

Allow the United States Attorney and other supervisors to monitor the office's workload, to make case assignments, and to respond to ad hoc inquiries from the Department or local community.

Allow EOUSA to respond to numerous requests for statistical information from the Office of Management and Budget, the Congress, and the public, and to produce management reports for use within the Department of Justice.

Provide the figures for the Attorney General's Annual Report and the United States Attorneys' Annual Statistical Report.

Provide data used to formulate budget estimates, to justify budget requests, and to allocate resources, including personnel, among the various districts.

Select **Reports** from the LIONS Main Menu or press **ALT + P**. As shown in Figure 11-1, a menu of report types displays.

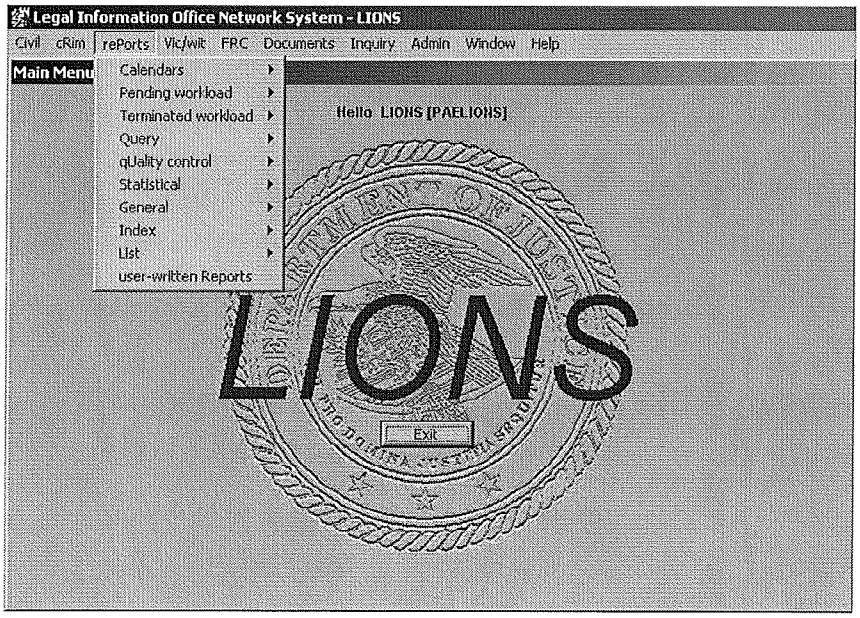

Figure 11-1: Reports

Each Report menu provides further options for printing the generated reports as shown in the example in Figure 11-2.

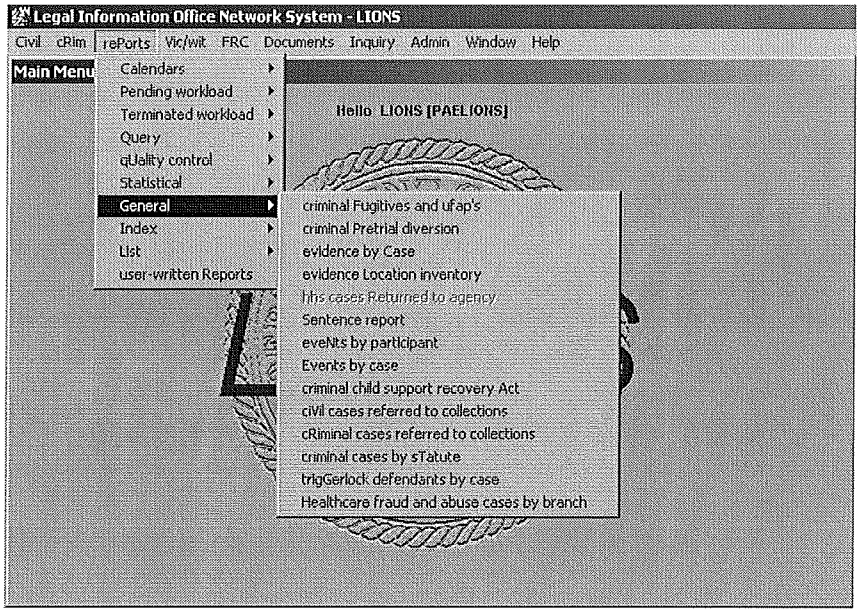

Figure 11-2: Sample Report Options

After selecting a Report type, the user must enter parameters in a screen similar to the one shown in Figure 11-3.

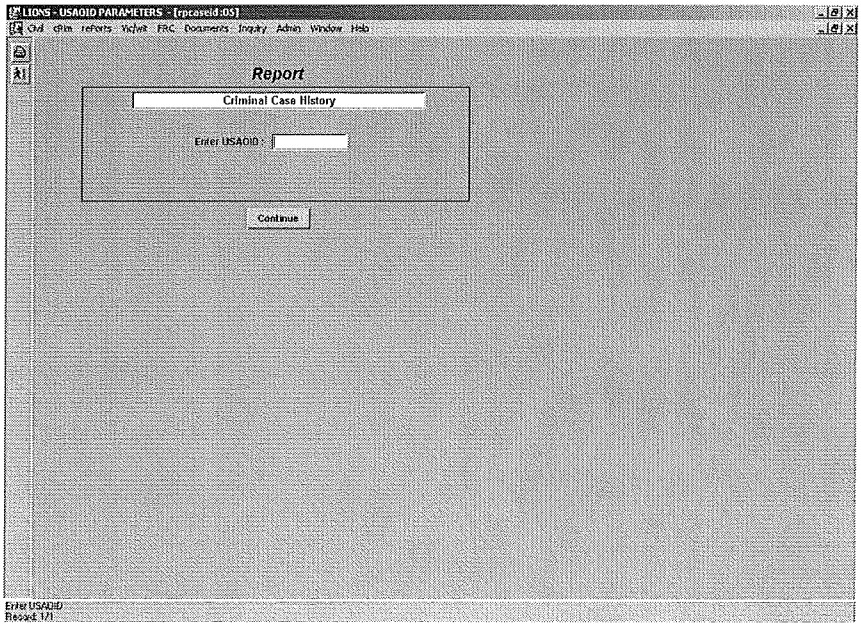

Figure 11-3: Report Parameters

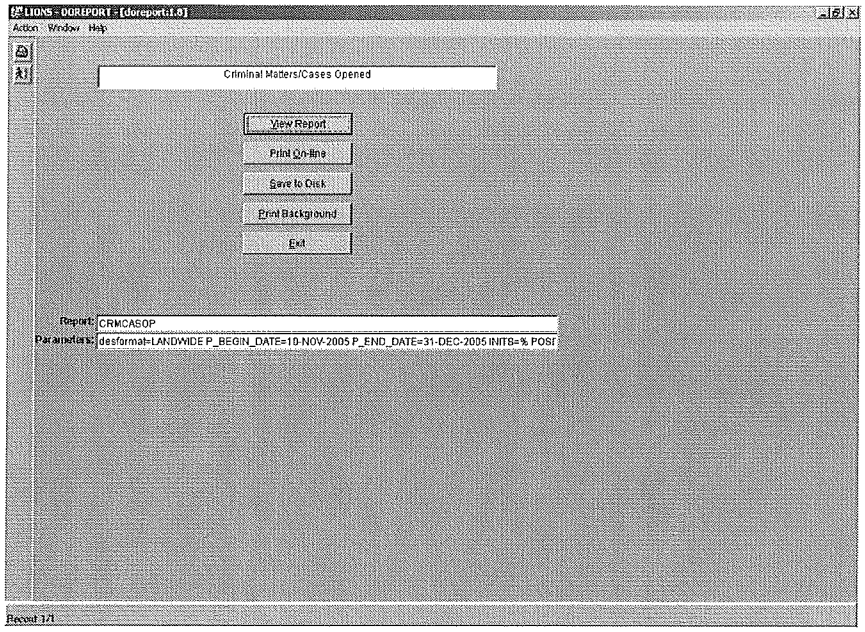

Figure 11-4: DOREPORT

When the user presses the appropriate buttons on the parameters screen, two buttons are added to the bottom of the screen as shown in Figure 11-5, the Report Server button and a button identifying the type of report requested.

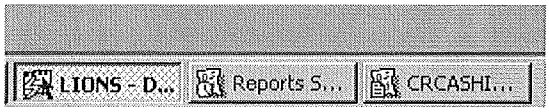

Figure 11-5: Report Server/Report View Buttons

Reports run off of a centralized server. To view the status of reports in the server queue, click on

. The Reports Server screen shown in Figure 11-6 will open.

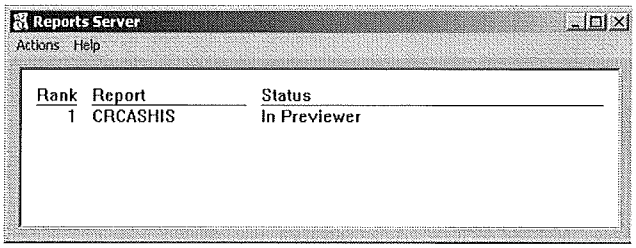

Figure 11-6: Report Server Screen

Because reports are run off of a centralized server, there is a 30-minute delay in retrieving information.

Click on

to preview the generated report, in this case a Criminal Case History Report as shown in Figure 11-7.

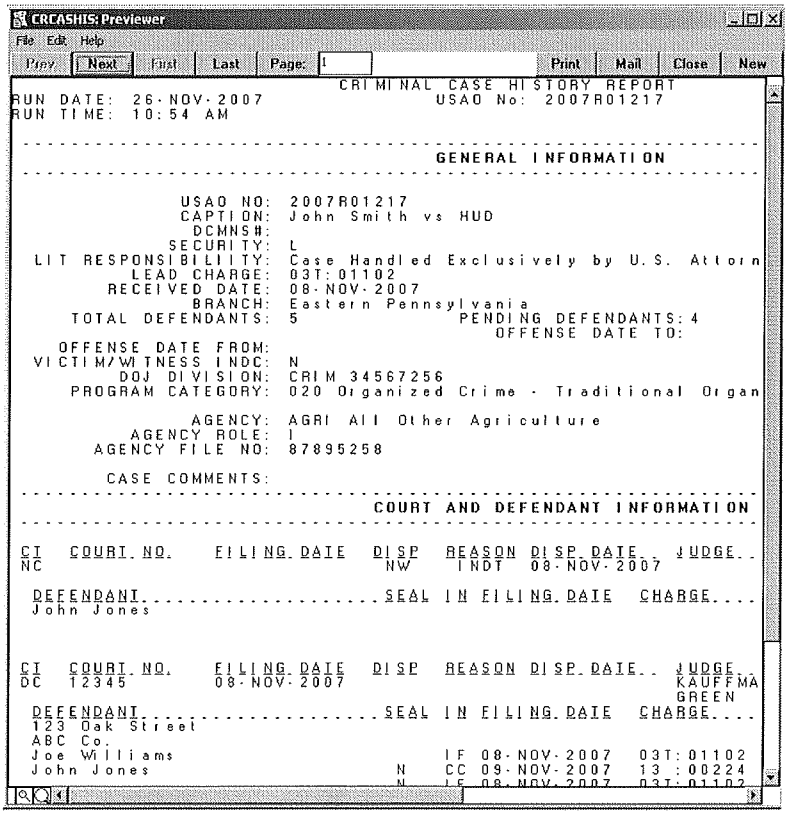
CRCASHIS: Previewer
File Edit Help
Prev Next First Last Page: 1 Print Mail Close New
CRIMINAL CASE HISTORY REPORT
RUN DATE: 26-NOV-2007 USAO No: 2007R01217
RUN TIME: 10:54 AM
GENERAL INFORMATION
USAO NO: 2007R01217
CAPTION: John Smith vs HUD
DCMNS#:
SECURITY: L
LIT RESPONSIBILITY: Case Handled Exclusively by U.S. Attorn
LEAD CHARGE: 03T:01102
RECEIVED DATE: 08-NOV-2007
BRANCH: Eastern Pennsylvania
TOTAL DEFENDANTS: 5 PENDING DEFENDANTS: 4
OFFENSE DATE FROM: OFFENSE DATE TO:
VICTIM/WITNESS INDC: N
DOJ DIVISION: CRIM 34567256
PROGRAM CATEGORY: 020 Organized Crime - Traditional Organ
AGENCY: AGRI All Other Agriculture
AGENCY ROLE: I
AGENCY FILE NO: 87895258
CASE COMMENTS:
COURT AND DEFENDANT INFORMATION
CT COURT NO. FILING DATE DISP REASON DISP DATE JUDGE
NC NW INDT 08-NOV-2007
DEFENDANT SEAL IN FILING DATE CHARGE
John Jones
CT COURT NO. FILING DATE DISP REASON DISP DATE JUDGE
DC 12345 08-NOV-2007 KAUFFMA GREEN
DEFENDANT SEAL IN FILING DATE CHARGE
123 Oak Street
ABC Co.
Joe Williams IF 08-NOV-2007 03T:01102
John Jones N CC 09-NOV-2007 13 :00224
N IF 08-NOV-2007 03T:01102

Figure 11-7: Typical Criminal Case History Report

There are far too many reports to discuss each one individually. However, a number of commonly used options for Query and Quality Control Reports are addressed in the sections that follow.

11.1. Query Report

A Query Report can be generated for Civil or Criminal cases on all the specific case information (Case Query or the Case History). Following are procedures for accessing and printing a Criminal Case History Report. The procedures for accessing and/or printing Civil and Criminal reports are the same.

Select **Reports, Query, Criminal, Case History** from the LIONS Main Menu, as shown in Figure 11-8.

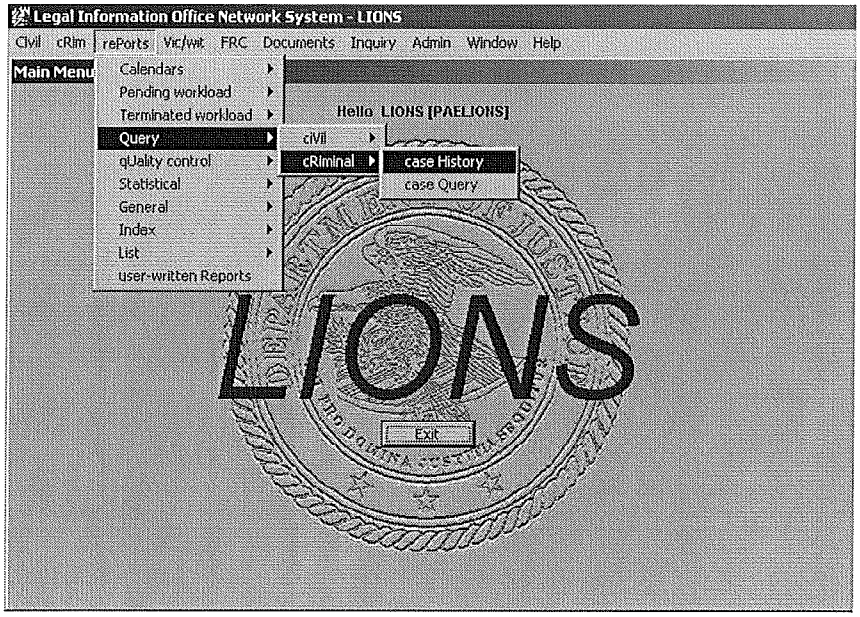

Figure 11-8: Reports, Query, Criminal, Case History

The **USAOID PARAMETERS** screen, shown in Figure 11-9, will display.

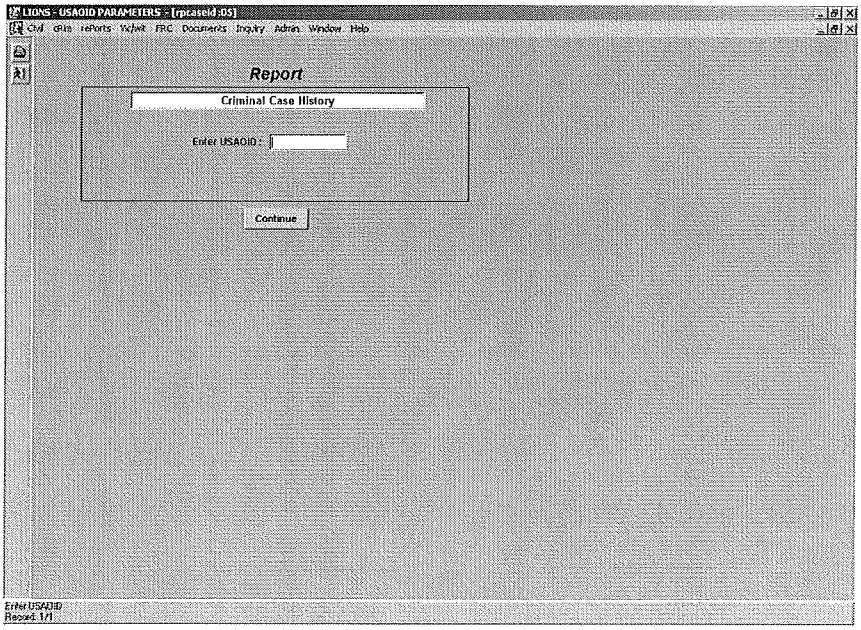

Figure 11-9: Criminal Case History Report Parameters

Enter the USAOID for the case and press **Continue**.

The **DOREPORT** screen, shown in Figure 11-10, will display showing the report type, report disposition options, report name and report parameters.

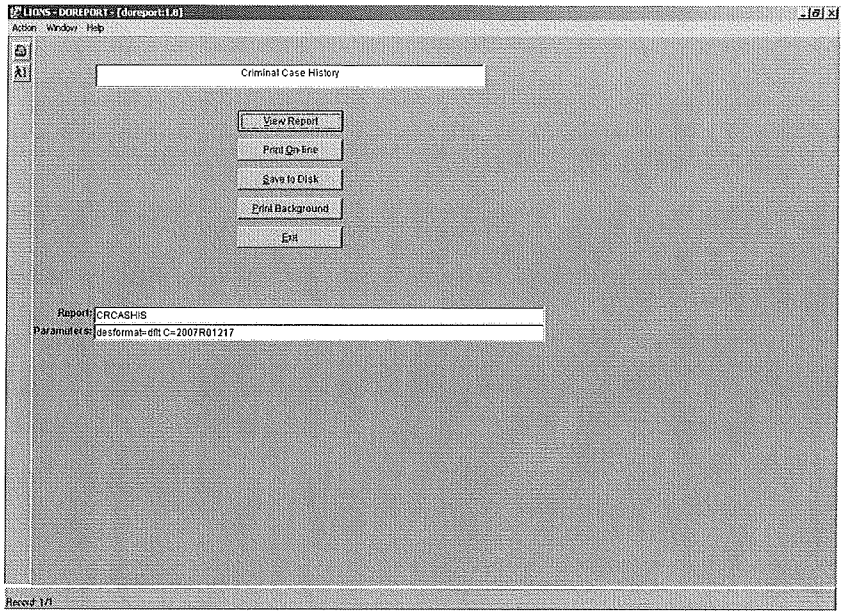

Figure 11-10: DOREPORT Criminal Case History

11.2. Quality Control

Quality Control reports provide Aging and Certification information on Civil and Criminal cases. The more common report is the Certification report used to help track authenticated case information at least several times a year. These reports are run either by Event or by Review (AUSA Staff/Lead AUSA). The report generation procedures are the same for both Civil and Criminal case.

11.2.1. Case Certification/Event

Select **Reports, Quality Control, Criminal, Case Certification/Event** from the LIONS Main Menu as shown in Figure 11-11.

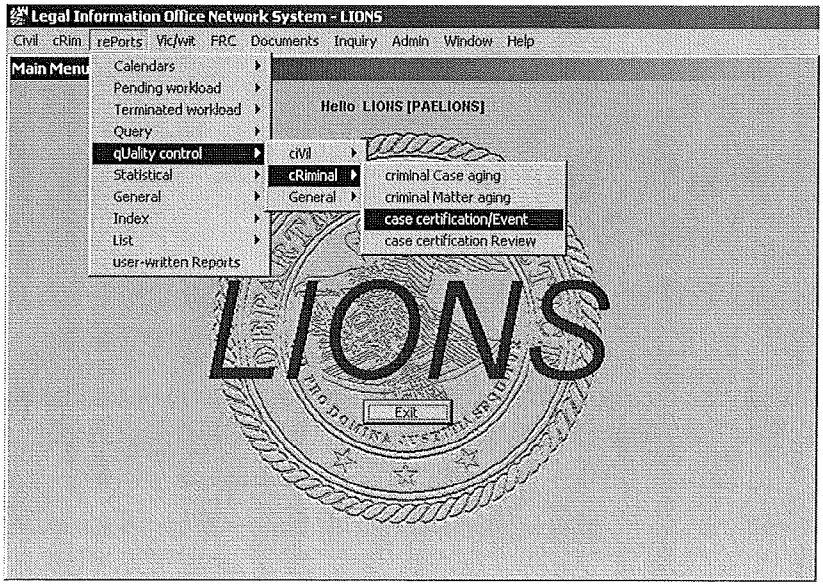

Figure 11-11: Reports, Quality Control, Criminal, Case Certification/Event

The Criminal Case Certification Parameters screen shown in Figure 11-12 will open.

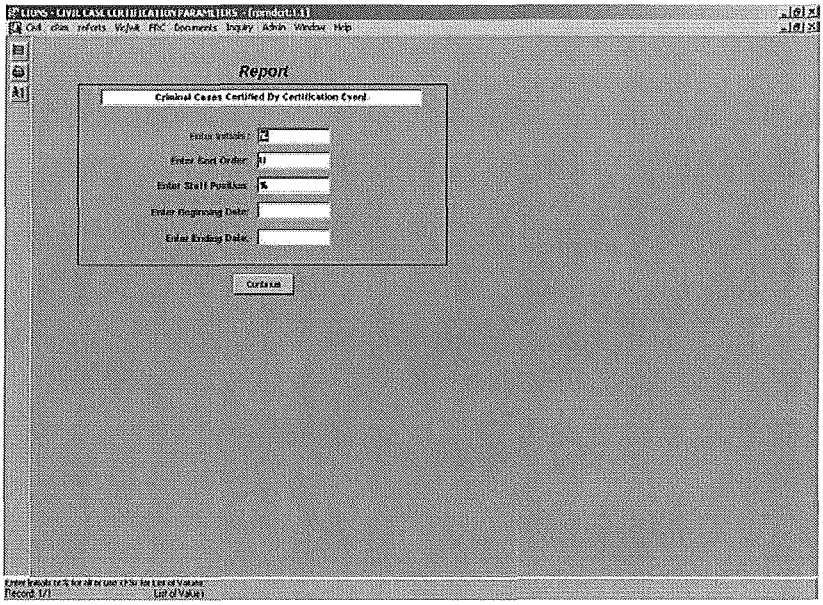

Figure 11-12: Criminal Case Certification Report Parameters

Enter Initials – Press **F9** and select the initials of the Lead AUSA. (**%** will return all.)

Enter Sort Order – Press **F9** and select the order in which the report will be sorted.

Enter Staff Position – This field must be **L** (Lead AUSA). (% will return all.)

Enter Beginning Date - Enter the start date for the reporting period.

Enter Ending Date - Enter the end date for the reporting period.

Press **Continue.**

The **DOREPORT** screen shown in Figure 11-13 will display showing the Report type, report disposition options, report name and report parameters.

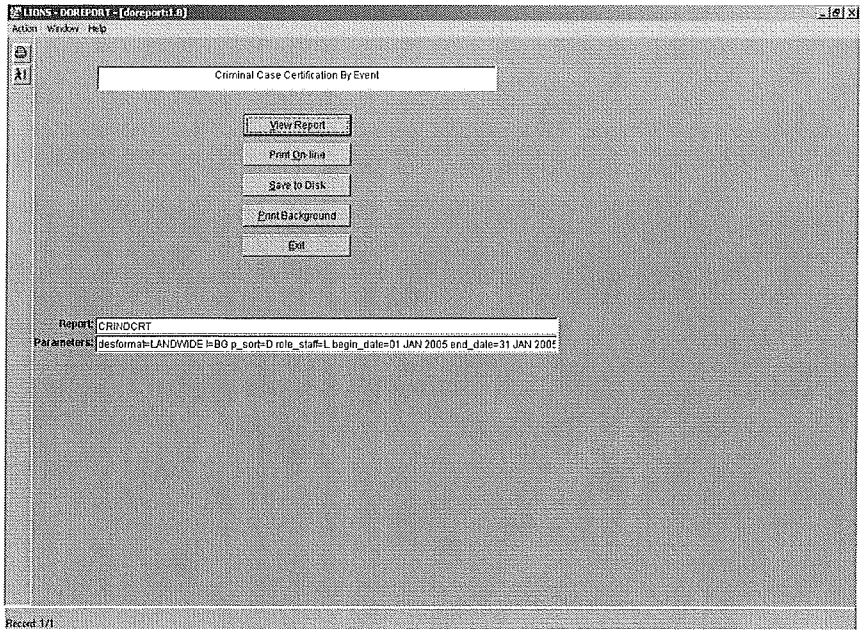

Figure 11-13: DOREPORT Criminal Case Certification by Event

11.2.2. Case Certification/Review

Select **Reports, Quality Control, Criminal, Case Certification/Review** from the LIONS Main Menu as shown in Figure 11-14.

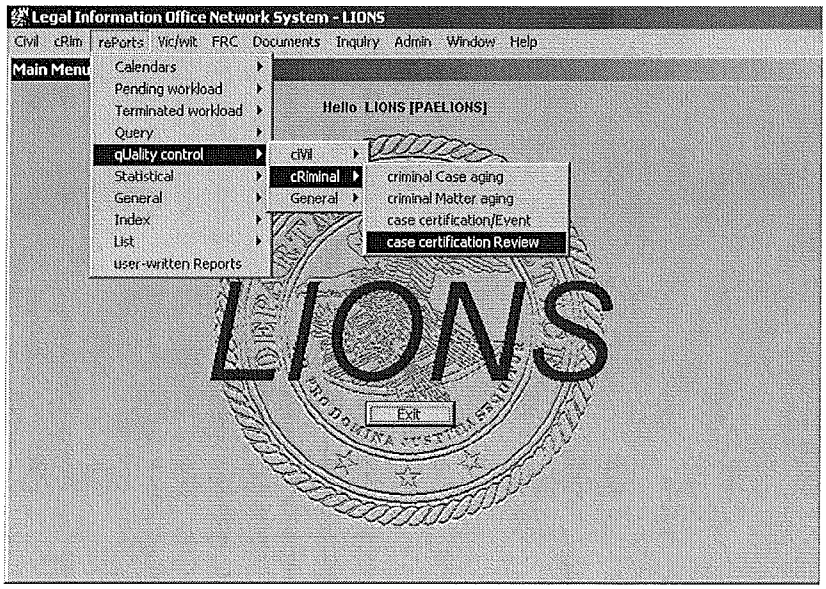

Figure 11-14: Reports, Quality Control, Criminal, Case Certification/Review

The Report screen shown in Figure 11-15 will open.

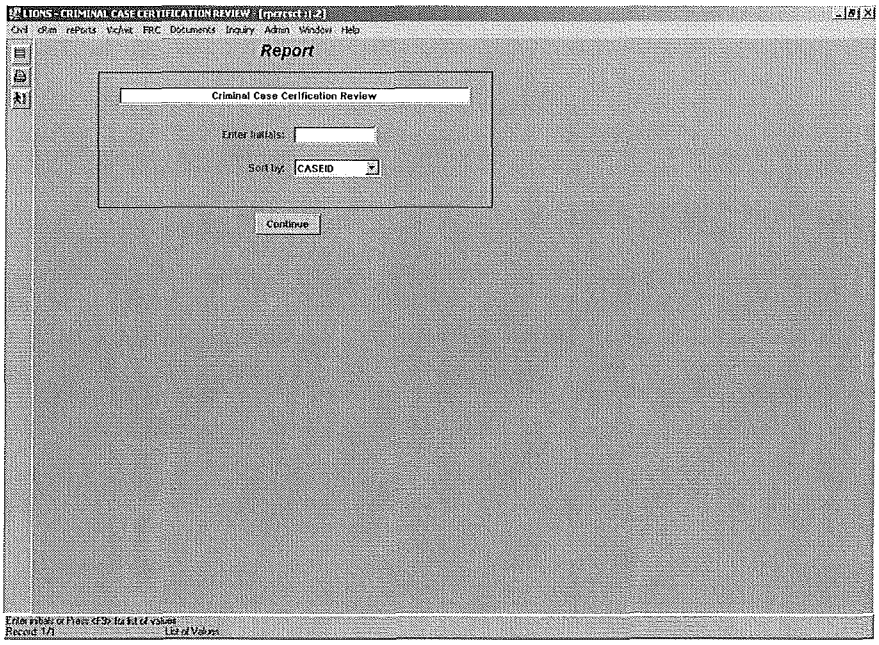

Figure 11-15: Criminal Case Certification Review Report Parameters

Enter Initials – Press **F9** and select the Lead AUSA. (The % will select all.)

Sort By – Click the scroll bar to the right of the field and select the sort, **CASEID** or **Caption**.

Click on **Continue** to generate report.

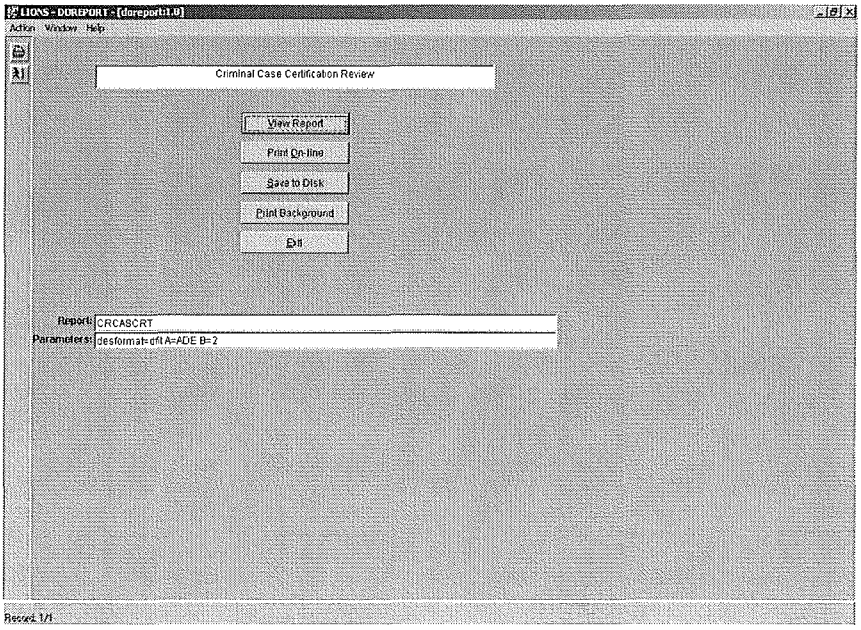

Figure 11-16: DOREPORT Criminal Case Certification Review